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# ORGANIZATION AND MANAGEMENT IN THE FOREST SERVICE



*A Summary  
from the  
Manual and Handbook*

U.S. Department of Agriculture

• Forest Service

February 1962

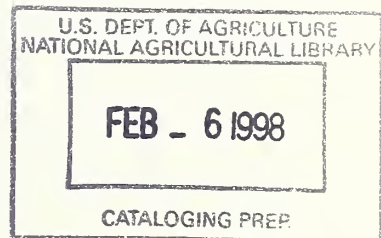
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# Organization and Management in The Forest Service

*A Summary From the Manual and Handbook*



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# Preface

This book has been prepared to give Forest Service employees a broad overall look at the highlights of management and management processes without reviewing the larger volume of material in the Manual and Handbook. Those seeking more information should consult the appropriate sections of the Manual for details on laws, regulations, and policies. For procedural and technical information, the appropriate handbooks are the proper sources.

Although designed for internal use, the book may also be referred to in answering occasional requests about management from the Graduate School and other bureaus in the Department of Agriculture and from other Government agencies.

Chapter 1 briefly outlines the mission of the Forest Service as background for the sections that follow. The unique problems of a decentralized system; the high personal and job standards set; the importance of the individual in the decision-making, planning, and execution stages of management; the teamwork required to attain a multiplicity of objectives . . . these and other characteristics of the Service will make themselves apparent to the reader. They will help explain the functioning and the spirit of high purpose and morale of a complex organization engaged in many tasks under diverse conditions.

Acknowledgment is made of the many writers who prepared the Manual and Handbook material from which this condensed work was compiled. Special mention should be made of Gordon Fox, Edward Schultz, V. A. Parker, Clayton Weaver, C. K. Lyman, George Ferrare, Howard Marshall, Clint Davis, Robert T. Hall, and Morris Mash who assisted in compiling, revising, and rewriting the aforementioned material.

*Clare Bendee*

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## Chapter 1

# Introduction

The Forest Service, under the direction of the Secretary of Agriculture, is responsible for applying sound conservation and utilization practices to the natural resources of the National Forests and National Grasslands. It also has the responsibility of promoting these practices among all forest landowners through example, cooperation, research, and the dissemination of information.

Work of the Forest Service includes three major activities: (1) Management of the National Forests and National Grasslands; (2) cooperation with States and private forest landowners; and (3) forest and range research.

1. *Management of National Forests and National Grasslands.*—The 155 National Forests and 18 National Grasslands contain 186 million acres in 41 States and Puerto Rico. Each National Forest resource—timber, water, forage, wildlife, and recreation—is managed with other resources to meet present and future public needs, both local and national.

National Forest timber is managed on a sustained yield basis, the amount cut each year approximating that which is grown. Applied forestry and the sustained yield principle are prerequisites for assuring adequate future crops of high-quality timber.

Watersheds are managed to regulate streamflow, control floods and erosion, serve as water-storage areas, and supply clear, clean water for agriculture, industry, recreation, and domestic use. Much of the Nation's water flows from National Forest lands.

Ranges are managed to conserve the land and its plant cover, and provide forage for domestic animals and livestock.

Wildlife, too, is managed as a renewable crop. The aim is to keep animal numbers in balance with available food and shelter. Hunting and fishing are permitted in the National Forests under State law to provide sport for millions and to check excess wildlife populations.

The recreation resource is managed to best serve the ever-increasing number of people who use the National Forests for sport and relaxation. Facilities range from family picnic spots to extensive wilderness tracts.

The practice of managing several forest resources harmoniously for the benefit of the greatest number of people is known as "multiple use." This is a cardinal National Forest management principle as emphasized by the Congress in the

Multiple Use-Sustained Yield Act of June 12, 1960 (Public Law 86-517).

Multiple use means the management of all renewable surface resources of the National Forests so that they are utilized in combinations that will best meet the needs of the American people; making the most judicious use of the land for some or all of these resources or related services over areas large enough to provide sufficient latitude for periodic adjustments in use to conform to changing needs and conditions; and harmonious and coordinated management of the various resources, each with the other, without impairing the productivity of the land. In multiple use management, consideration is given to the relative values of the various resources and not necessarily to the combination of uses that will give the greatest dollar return or the greatest unit output.

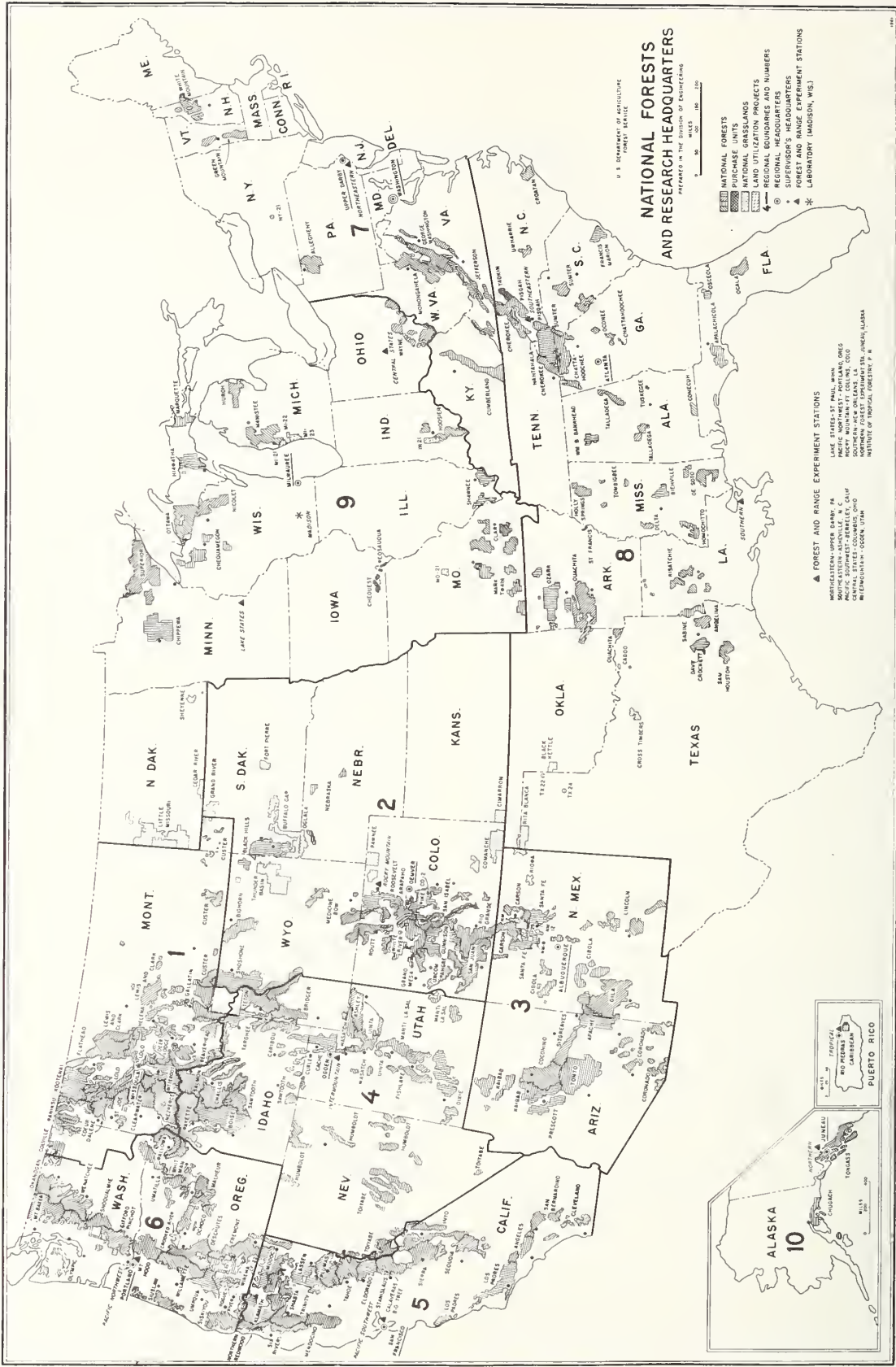
Sustained yield of National Forest resources means the achievement and maintenance in perpetuity of a high-level annual or regular periodic output of these resources without impairing the productivity of the land.

Some statistics for 1960 fiscal or calendar year under the multiple use-sustained yield principle of management included: an alltime high of \$148 million in cash receipts from National Forest timber and other land uses, one-fourth of which went to States for school and road use in counties containing National Forest lands; a record harvest of 9.4 billion board feet of timber, 14 percent of the Nation's total; rehabilitation of about 119,000 acres of burned-over land; paid grazing permits granted for about 6 million head of livestock; more than a half-million big-game animals and larger quantities of smaller game and fish taken by hunters and fishermen; recreation visits numbering 92.5 million, an 11-million increase over the previous year.

The 18 National Grasslands administered by the Forest Service contain 3.8 million acres of public lands, chiefly in the Great Plains States, which are being restored to grass under the same management principles described above. The Service also administers 29 Land Utilization Projects on 400,000 acres of submarginal lands.

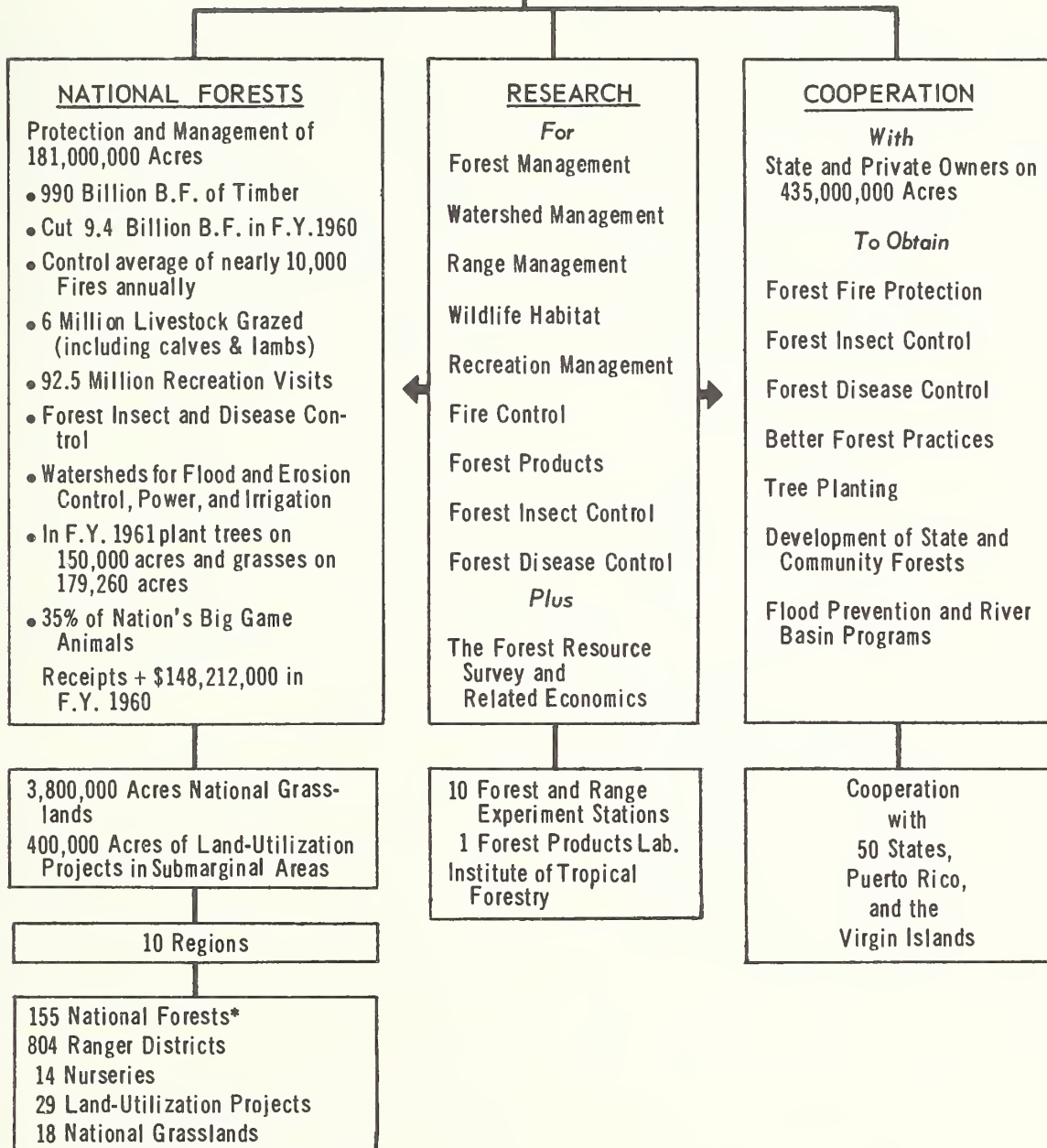
A major responsibility of National Forest management is to protect the resources in its care from fire, insects, and disease.

2. *Cooperation With States and Private Forest Landowners.*—Forest land covers one-third of the total land area of the continental United States. The Forest Service cooperates with State agencies and private forest owners to: (a) Better protect





( MAJOR ACTIVITIES )



\* Administered by 128 Supervisors

the 435 million acres of State and privately owned forests and critical watersheds against fire, insects, and diseases; (b) encourage better forest practices, for conservation and profit, on the 358 million acres of private forest land; (c) aid in distribution of planting stock for forests, shelterbelts, and woodlots; (d) stimulate development and proper management of State, county, and community forests.

More than 2 billion seedlings were planted on some 2 million acres in 1960, mainly on private lands where the need is greatest. About 40 million acres are still in need of tree planting.

3. *Forest and Range Research.*—The Forest Service carries on forest and range research through its 10 regional experiment stations, the Forest Products Laboratory, and the Institute of Tropical Forestry in Puerto Rico. Scientists study the growth and harvesting of timber; protection of forests from fire, insects, and diseases; management of rangelands; protection and management of watersheds; efficient and economical utilization of forest products; and forest economics. A continuing forest survey provides compre-

hensive information on the extent and condition of forest lands; the volume and quality of timber resources; trends in timber growth and harvest; and outlook for future supplies and demands.

Trees that grow faster, resist diseases, or are better suited to specific localities are being scientifically bred at forest genetics institutes. Both chemical and biological disease and insect controls have been improved. Research into forest products utilization has found new uses for low-grade hardwoods through new pulping processes. Aerial methods to control fires with chemicals have been developed. Ways are being found to increase the yield of water from high mountain snowfields by as much as 20 to 25 percent in some tests.

Other activities, worked in conjunction with the three major ones mentioned, include building and maintaining forest roads and trails; acquiring and exchanging lands for more efficient management; flood prevention and watershed protection; and many cooperative projects.

The general organization of the Forest Service and its principal activities are outlined in the chart (page 3).

## Chapter 2

# Directives System

The directives system is designed to include all laws, regulations, orders, policies, standards, and procedural instructions that govern Forest Service programs and functions. The objective of these directives is to provide employees at all operating levels with instructions that will enable them to perform their duties efficiently.

There are two kinds of directives; external and internal. External directives originate outside the Forest Service and have authoritative application to Service programs, functions, activities, or procedures. These directives are issued from such sources as the President, the Congress, the Secretary of Agriculture, General Accounting Office, Bureau of the Budget, Civil Service Commission, and the General Services Administration.

Internal directives originate within the Forest Service and are based on enabling legislation or orders from higher authority. They provide employees with policy and procedural instructions. Internal directives are either permanent or temporary. Permanent directives contain instructions having continuing application to Service programs and activities. Temporary directives are issued to convey promptly communications which affect or supplement continuing instructions, and usually will be prepared later as permanent Manual or Handbook instructions.

### Components of the Directives System

The directives system, which embraces the entire field of Forest Service directives management, comprises four major components. Each component represents a distinct but integral part of the overall system of preparing, issuing, and storing directives for immediate and future use. The components are (1) the Forest Service Manual, (2) the Forest Service Handbook, including all category 2 handbooks, (3) temporary directives, and (4) external directives not incorporated in the Manual or Handbook.

All permanent or continuing policy instructions, including material on pertinent laws, regulations, and orders; Forest Service program and functional objectives, policies, and delegations of responsibility and authority, are prepared and issued as Forest Service Manual text. All permanent or continuing procedural instructions are prepared and issued as Forest Service Handbook text.

The titles "Forest Service Manual" and "Forest Service Handbook" refer exclusively to the parent Manual or Handbook. Region, experiment

station, and forest supplements to the Manual and Handbook are organized the same as the parent Manual and Handbook material.

All directives are properly coded and written in accordance with the principles of simplified writing.

### Organization of Subject Matter

The directives system is organized into six subject-matter areas, each identified as a series, to facilitate maintenance of the system and its use as a reference. Each series is organized into titles, chapters, and sections to further facilitate subject-matter coding, indexing, maintenance, and use. The code and subject-matter name of each series and its respective titles follow.

- Series 1000—Organization and Management
  - Title 1100—Forest Service Directives System
  - Title 1200—Organization
  - Title 1300—Management
  - Title 1400—Controls
  - Title 1500—External Relations
  - Title 1600—Information Services
  - Title 1700—Defense Activities
- Series 2000—National Forest Resource Management
  - Titles 2100 to 2800
- Series 3000—State and Private Forestry
  - Titles 3100 to 3500
- Series 4000—Research
  - Titles 4100 to 4800
- Series 5000—Protection and Development
  - Titles 5100 to 5700
- Series 6000—Management Services
  - Title 6100—Personnel Management
  - Title 6200—Office Management
  - Title 6300—Procurement Management
  - Title 6400—Property Management
  - Title 6500—Finance and Accounting

All subject matter incorporated into the directives system is numerically coded under the proper series, titles, chapters, and sections. In addition, subject matter is appropriately cross-referenced and alphabetically indexed to facilitate its use.

### Forest Service Manual

The Forest Service Manual is the authoritative source of information on organization, program responsibilities, and authorizations. It contains only such procedural techniques, standards, and instructions as could not practicably be separated from the parent Manual material.

The Manual is designed primarily for internal use by all Service employees. In addition, it is useful to the Secretary's Office and to other public and private agencies having official relations with the Forest Service. Schools and libraries, too, find it a good source of information on Service organization, responsibilities, programs, and policies. Many foreign countries have requested copies of the Manual as an aid in carrying out their conservation programs.

The Manual contains the basic laws, assigned responsibilities, and delegated authorities that govern programs, activities, and functions. It contains all the Secretary's regulations pertaining to management and use of the National Forests. Along with this basic material, the Manual also defines the basic program objectives and policies of the Forest Service and its organizational responsibilities and authorities.

The Manual is organized within the six major subject-matter areas of the overall directives system. The subject matter under each of the six major series is organized according to major programs. Each program is treated to convey a clear understanding of program objectives; directives and limitations imposed by law, regulations, and Forest Service policy; and delegation of responsibility and authority to line-management units for normal operating conditions.

### **Forest Service Handbook**

The Forest Service Handbook contains procedural instructions on how work is to be performed. Operating policies, job or performance standards, and other instructions necessary to the adequate performance of the subject jobs are included in the Handbook to minimize reference back to the Manual. Employees are expected to know the Manual thoroughly concerning their assigned responsibilities but to refer to the Handbook for day-to-day operating procedures.

Handbook material is organized the same way as the Manual in treating the six major subject-matter areas of the overall directives system. To facilitate maintenance and use of the Handbook, its contents have been further divided into two categories:

#### **Category 1 Handbook**

All category 1 Handbook material is fully classified, coded, and indexed the same as related Manual subject matter. In other words, the category 1 Handbook is written under the same code numbers as the parent Manual material. The Handbook (category 1) is printed on yellow paper to distinguish it from the Manual.

The category 1 Handbook includes subject matter of broad functional application. Normally, this category is used by all field unit managers and administrative personnel. It is also used by a limited number of functional specialists and technicians. Procedural techniques, stand-

ards, and instructions with broad functional implications are typical category 1 Handbook material.

#### **Category 2 Handbooks**

Category 2 Handbook material is classified, coded, and indexed separately for each handbook. Each category 2 Handbook is tied in with the directives system by the assignment of a regular code number. Category 2 Handbooks prepared in the Washington office are listed by name and assigned code number in FSH and in the master index.

Category 2 Handbooks treat subject-matter areas which are narrowly functional in character and which are used primarily by subject-matter specialists or, rather infrequently or periodically, by administrative officers. Examples of category 2 Handbooks are the Air Tanker Guide, Sign Handbook, Fireman's Guide, and Land Treatment Measures Handbook.

All proposed category 2 Handbooks must be cleared with the Washington office. This applies to handbooks proposed for development by the regions, stations, and Washington office divisions. The purpose of this clearance is to (1) provide for coordination of handbook development work among interested units; (2) provide for coordination of such handbooks with the overall directives system, and (3) avoid unnecessary duplication of effort. Proposals must include a statement outlining the proposed handbook contents and the need therefor.

#### **Directives Preparation and Issuance**

Each division at the Washington office, region, experiment station, and the Laboratory drafts and prepares its own directives in reasonably final form for issuance. Such preparation includes interdivisional coordination. This is ordinarily done before directives material, in draft form, is referred to the division that is responsible for final review, approval, and processing.

The Washington office Division of Administrative Management is responsible for the final review, approval, and control of the processing procedures of all parent Manual and Handbook directives. Each counterpart administrative management unit at region, experiment station, Laboratory, and forest levels is responsible for final review, approval, and processing of all directives issued by its respective office.

Drafts of important new material and major Manual or Handbook revisions are usually referred by the Washington office to the field for appropriate review before final approval. Field suggestions for needed corrections, refinement, or additions are invited and receive proper attention.

The Chief, as principal line officer, is administratively responsible for all directives issued at the Washington office level. All such material is backed by the authority of the Chief.

Regional foresters and directors are administratively responsible for all Manual and Handbook supplements issued within their respective organizational units. Material so issued is backed by the authority of the regional forester or director concerned.

Directives applying to two or more regions or stations are prepared, processed, and issued by the Washington office. Regions and experiment stations cooperate by forwarding material of inter-regional concern to the Washington office, with recommendations for issuance.

Regions, experiment stations, forests, and the Laboratory are authorized to supplement basic Manual and Handbook directives for local use. Supplements may extend or refine basic material to meet local conditions; they may not duplicate or alter the intent of basic material.

Questions of interpretation are referred to the Chief, if necessary, in order that there may be common understanding among all units to which the directives applies. Copies of all forest and regional supplements are forwarded to the next higher office for information.

All directives should be written clearly, concisely, and in a manner that can be readily understood by the principal users. Directives should not be more restrictive than necessary to insure compliance with basic laws and regulations. Further, directives should be in no greater detail than needed to guide the principal users.

Coded subject matter related to other coded material is appropriately cross-referenced to facilitate field use.

All Manual and category 1 Handbook material is coded under a standard 6-digit, numeric code system. A comprehensive outline of subject-matter headings has been developed to complement the code system. Emphasis is placed on coding subject matter for the benefit of the field user. The system does these things:

1. It provides a consistent basis for coding directives material under numbers assigned to specific subject matter. Consistent use of the system insures that material dealing with a common subject is grouped or correlated with a minimum of duplication, overlap, or conflict.

2. It facilitates location of material, since the system is truly decimal through each of the 6 digits. For example, 3221.11 is a subordinate of 3221.1, and both of these numbers precede 3221.2.

3. It requires the effective grouping of subject matter, since the system will not permit more than 9 equivalent subdivisions under any one of the 6 digits; for example, 1461 to 1469, 3221.1 to 3221.9.

4. It permits a tie-in between the Manual and Handbook material and that of outside agencies, such as the Civil Service Commission.

5. It minimizes changes in indexes, tables of contents, cross-references, etc., since a

change in the content of instructions for a given subject will not change the subject code number.

6. It reduces the tendency toward development of vested interests in segments of the Manual or Handbook. Staff officers are automatically reminded to write instructions under the subject-matter heading that is appropriate from the user's standpoint.

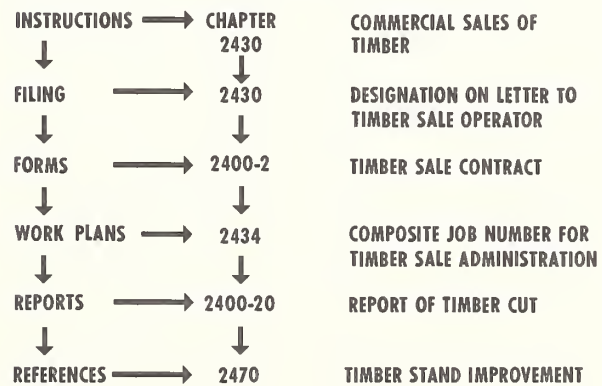
7. It provides for integrating files, work plans, budgets, composite job lists, forms, and other management tools with the directives codification system.

<b>SERIES</b>	<b>2000</b>
<b>TITLE</b>	<b>2400</b>
<b>CHAPTER</b>	<b>2430</b>
<b>SECTION</b>	<b>2431</b>
<b>2nd SECTION</b>	<b>2431.1</b>
<b>3rd SECTION</b>	<b>2431.11</b>

To illustrate the coded system, consider for example timber sales. All the Handbook instructions are under Title 2400 and specifically under Chapter 2430. Certain forms are necessary for a timber sale. In the whole field of timber management, 67 forms have been developed. These are designated 2400-1 to 2400-67. Thus any form needed for the particular timber sale can be easily identified. For example, Form No. 2400-2 is used in administering a timber sale.

All the work in the Forest Service is set out in a composite job list. These lists are numbered to the

### COORDINATED CODING



particular code in the Handbook. Thus, administration of the timber sale is coded 2434. After timber is cut it is reported on form number 2400-20.

All Service people need to know where to find references or working tools for their job. This reference material is coded to correspond with the particular title and chapter of the Handbook. For example, 2470 identifies the reference material for timber stand improvement.

### **Maintaining the Directives System**

The system is maintained and operated on a continuing basis to attain the following:

1. Assure effective and timely issuance of Manual and Handbook subject matter and other directives.

2. Assure uniform directives; eliminate unnecessary duplication; avoid unreasonable delays; include only necessary instructions; avoid frills; emphasize clarity and simplicity; make maximum use of external directives and standard textbook information.

3. Properly identify, classify, code, and index all directives to facilitate use by all personnel.

4. Obtain maximum use of Manual and Handbook for continuing instruction, and restrict circular letters containing instructions to nonrecurrent tasks.

5. Provide all employees with up-to-date instructions in readily usable form.

An adequately staffed and authorized maintenance organization is vital to the success of the directives system. Also, the system must be given line support throughout the entire Forest Service

organization. Line officers are responsible for instructing the members of their respective organizations on how to use the system and to insure compliance with established directives policy and procedure.

A branch of directives management is maintained in the Division of Administrative Management of the Washington office. The chief of the branch has the authority and responsibility for developing directives system policies and procedures at the Washington office level. The directives management branch is also responsible, through channels, for coordinating and controlling all Manual and Handbook directives originating at the Washington office level regardless of functional origin or application.

Each regional forester establishes and maintains a counterpart regional organization similar in authority and responsibility to the Chief's office directives management organization. The regional organization is set up within the Division of Operation. The division chief assigns to a qualified staff officer the authority and responsibility for developing needed regional directives system procedures and for coordinating and controlling regional directives.

Each research director assigns to one staff member of his immediate organization the responsibility and authority for the development, coordination, and control of the directives system at the experiment station and laboratory.

Each forest supervisor assigns one of the administrative staff the responsibility and authority for the control and maintenance of directives system on the forest and for the preparation of needed forest supplements.



## Chapter 3

# Organization

Organization is the process of systematically dividing major program responsibilities into homogeneous segments of manageable size. It includes the assignment of personnel and facilities to accomplish the objectives given to each segment. It provides for control of the actions of individuals or units by specifying to whom each is responsible. It defines the extent of authority given each individual and unit to redeem the responsibilities assigned.

The diversity and geographical diffusion of Forest Service work require a complex organization. This organization is designed to provide a clearcut, two-way channel for the transmission of policy and instructions from the top to the bottom and for the flow of recommendations and accountability from the bottom to the top. Because the Chief of the Forest Service is responsible for all its work, he must have the means for assigning work and authority to subordinate officers and units with assurance that the work will be accomplished in accordance with his policies and other requirements. In short, the organization is essentially an extension of the physical and mental facilities of the Chief.

The basic objectives in establishing the organization are (1) to provide a properly organized group of qualified people to carry out efficiently the functions assigned the Forest Service by the Secretary of Agriculture; and (2) to insure that the work is accomplished according to the laws, regulations, policies, and directives established by the Congress and the Secretary as interpreted by the Chief.

To accomplish this, the Forest Service pursues the following policy:

1. Delegates maximum authority to subordinate line officers consistent with laws and Department regulations and retention of control by the Chief.

2. Provides each line officer with the help and facilities he needs to carry out the responsibilities assigned to him.

3. Adheres to the principles of the Civil Service merit system in manning the organization.

4. Follows the principles of organization set forth later in this chapter.

### Principles of Forest Service Organization

The Forest Service has adopted a line and functional staff combination as its basic form of organi-

zation. The adoption of this concept does not mean that "line" authority has been delegated to functional staff officials. The line retains responsibility for deciding on and activating overall objectives, policies, plans, and programs; for policies for all functions; and for coordination of the different functional activities.

The role of functional staff is primarily to advise, recommend, observe, and report. The staff man is responsible for furnishing guidance, assistance, and training to lower line and staff levels, and is accountable to his superior for the fulfillment of this responsibility. The line and staff officials are responsible to their respective line superiors for the application of the functional guidance, assistance, and training received. For example, a ranger's timber-cut quota may be developed under the guidance of a functional staff man but the ranger is responsible to the supervisor for meeting the quota, not to the staff man. The staff man is not responsible to the supervisor for the ranger meeting his quota.

Every functional staff man derives his authority from the line officer to whom he reports. Consequently, he must at all times act in accordance with the views of his superior, and must have a good understanding with him as to matters which should be discussed between them prior to taking any action. As an overall simplification, the line official does the programming—"when" and "how much"—and the staff determines "how" a job should be done.

To carry out the complex work of the Forest Service effectively requires the application of the following principles of organization.

1. *Functional Segregation Principle.*—Similar kinds of work may be segregated from the total program and assigned to a person or group. This permits the focusing of specialized ability on work requiring that ability. The Forest Service has adopted this principle at all levels of administration. Examples are the functional divisions in the Chief's office and the regional foresters' offices, and the functional staff men in supervisors' offices. The branches within divisions are examples of further segregation of similar work. Work is segregated similarly in Research at all levels. On a ranger district or a research center, the assignment of related duties to an individual exemplifies this principle.

Organization of work by functions provides for the specialization needed to solve technical problems. It also provides an avenue for the dissemi-

nation of specialized information to the various levels of organization. Organizational entities established according to this principle have limited authority. They operate only through authority delegated to them by the line officer to whom they report.

2. *Scalar Principle*.—The word “scalar” is derived from scale. It is descriptive of positions or links in the chain of command in an organization. Authority and responsibility flow through these links from the chief executive down through the organization. Accountability flows back up through each link to the top. The chain ties an organization together. It provides a direct channel from top to bottom without regard to facilitating groups attached to the direct line.

The scalar principle requires that each person in an organization have only one boss. He receives his authority to act from the boss and is directly responsible to him for results. He may receive guidance and technical advice, but not orders from others.

Two principal types of organization have been developed consistent with the scalar principle. Both of them retain the concept of unity of command. They are:

A. *Line Organization*. This is the most direct kind of organization. Each link in the chain of command is an individual although each may have groups of subordinates reporting directly to him. The line officer has no assistants except those through whom he transmits orders.

B. *Staff Organization*. As the workload of an organization increases, the line officer may be unable to do all the work of his position alone. He acquires assistants, frequently specialists. These assistants, or staff, receive their instructions from the line officer and return their completed work to him. The line officer alone deals directly with other line units above or below his own unit level. The activities of the staff have no direct organizational effect on the line units.

3. *Decentralization Principle*.—Decentralization of an organization means putting responsibility and authority to act at the lowest possible level. The degree of decentralization varies according to kinds of work, the requirements of the job, and the capabilities of the officer in charge.

Decentralization requires the assumption of responsibility by the officer in charge. It also requires that he be given the degree of authority needed to carry out the work for which he is held responsible by his superior. There is a close relationship between decentralization and controls. The officer who delegates work to a subordinate cannot thereby relieve himself of final responsibility; therefore, he must establish controls, such as inspection and reports, to assure acceptable performance.

Decentralization is attained by specific assign-

ment of responsibility and specific delegation of authority. Delegations must always be definite, clear, and direct. Decentralization is essentially management accomplished by setting objectives and by establishing minimum controls for attaining them.

The Forest Service has always followed a policy of decentralization. Basic responsibilities and delegations of authority are included in the Manual. More specific delegations are made as needed by letter, position descriptions, organization charts, etc.

4. *Span-of-Control Principle*.—Forest Service programs have expanded greatly, both in size and complexity, over the years. Line officers have been confronted with the problem of how to retain full control over an expanding organization. It is generally recognized that a manager can properly supervise only from three to seven subordinates if their work interlocks and requires coordination. This principle if applied without modification to the organization would lengthen the chain of command, particularly in the higher echelons. Instead, the Forest Service has resorted to the use of staff officers to keep the chain of command short and the personal workload of line officers for whom the staff operates within reasonable limits. This system, when properly applied, contemplates the establishment of controlling policy and major procedures by the line and the day-to-day application of them by higher echelon staff officers. Under this concept, subordinate line officers are expected to discuss local problems with responsible staff officers and, when necessary, with their line superior. Such action in no wise means that a subordinate can go over the head of a superior. It means that channels of communication are open up and down the line and that line officers have final responsibility for the application of established policies and procedures on their units. However, line officers must clearly understand that the boss must delegate a great deal of the daily business to staff officers.

5. *Organization Coordination Principle*.—The Chief strives for adequate coordination of actions originating at the Washington office by the use of recognized coordination practices. These include rotation of the “Acting Chief” assignment among the assistant chiefs on a regularly scheduled basis; scheduled and special staff meetings; officewide family group meetings; regional forester-director and Washington office meetings; internal audits; and general integrating inspections. The same basic coordination principles apply to the several organization echelons from top to bottom. Adequate coordination is essential to the harmonious functioning of any large organization, especially a complex organization like the Forest Service.

6. *Territorial Jurisdiction Principle*.—This means that a single responsible officer administers all the resources and activities in a geographical area. An organization devoted to multiple-use

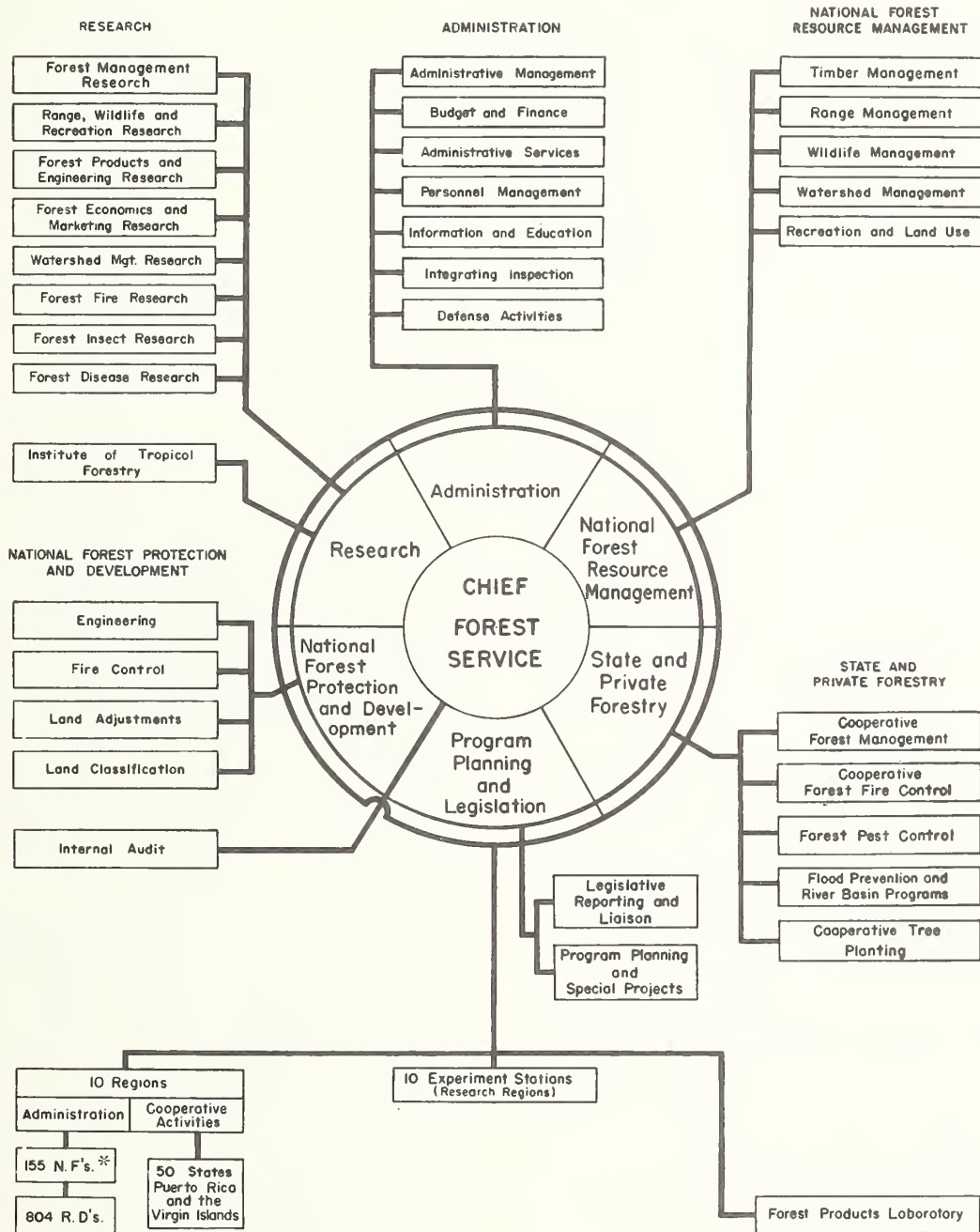
land management must utilize this principle since the management of any one resource affects the management of others. Control of all activities by one person minimizes conflicts and provides coordination.

The Forest Service has adopted this principle as the basic framework of organization for the administration of the National Forests and the State-private forestry program. The research organiza-

tion is set up according to the same principle with some necessary variations. The line organization (Scalar Principle) generally coincides with territorial jurisdictions.

### Forest Service Organization and Delegation of Authority

The following chart outlines the organization for the Forest Service:



\* Administered by 128 Supervisors.

## Line of Responsibility and Authority

The Forest Service is organized to redeem its assigned responsibilities as previously outlined. Since the responsibility of leadership in forestry is an overall requirement in all segments of the organization, no specific line of authority is shown for it. For the three other areas of primary responsibility, the direct lines of responsibility and authority are defined below.

(1) *National Forest Administration.*—The line of authority for administering the National Forests runs from the Chief to the regional forester to the forest supervisor to the district ranger. Responsibility for results runs from the district ranger to the Chief through the same links. These four officers head up the line units as illustrated later.

(2) *State and Private Forestry Cooperation.*—The line of responsibility and authority for State and private forestry work is shorter. It runs from the Chief to the regional forester. The regional forester or a designated assistant regional forester delegated by him deals directly with the State forester. Forest supervisors and district rangers may work with State officers and private landowners on specifically assigned jobs. Generally, their activities relating to State and private forestry are incidental to National Forest management and the general information services.

(3) *Research.*—Responsibility and authority for the conduct of research follow the line from the Chief to the experiment station director to the project leaders. In the Forest Products Laboratory, the line runs from the Chief to the Director; there are no lower line units. The director of the Institute of Tropical Forestry reports directly to the Chief. Direction of this unit has been delegated by the Chief to the Assistant Chief for Research.

## Organization Charts

Organization charts are prepared and maintained for each organizational unit in the Forest Service. The following explanations and organization charts show organizational units and titles, relationships, and organization of line units previously described. Since workload and other conditions vary, line units of the same level are seldom organized exactly alike. For that reason, the organization charts must be considered as typical but not exact representations.

The names of organizational units and the organizational title of the individual in charge of each in the Washington office are as follows:

<i>Organizational unit</i>	<i>Organizational title</i>
Office of the Chief.....	Chief.
Office of Assistant Chief for Research, National Forest Resource Management, etc.....	Assistant Chief.
Division.....	Division Director.
Branch.....	Branch Chief.
Section.....	Section Head.

There is presently no standard pattern of names of units and titles by regions and stations below the level of divisions. As existing organization charts are revised or new ones prepared, the following uniform pattern will be standard:

### REGIONS

<i>Organizational unit</i>	<i>Organizational title</i>
Regional Office.....	Regional Forester.
Division.....	Assistant Regional Forester (only if position is classified in forester series, GS-460), Regional Fiscal Agent, Regional Engineer.
Branch.....	Branch Chief.
Section.....	Section Head.

### EXPERIMENT STATIONS AND FOREST PRODUCTS LABORATORY

<i>Organizational unit</i>	<i>Organizational title</i>
Station and Forest Products Laboratory.....	Director.
Division.....	Division Chief.
Branch.....	Branch Chief.
Section.....	Section Head.

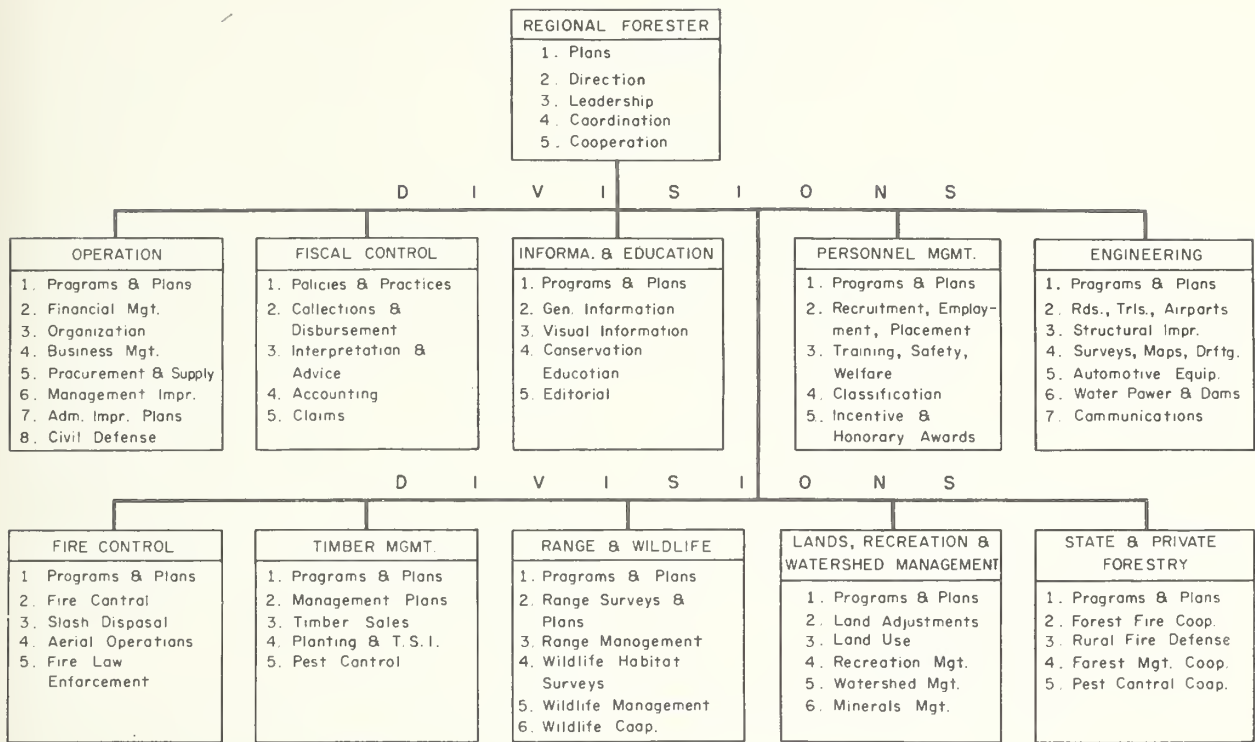
## Delegation of Authority to Line Officers

Line officers usually have responsibility for, and authority to administer, all activities within the Forest Service geographical or subject-matter areas assigned to them. The degree of authority for specific actions is defined in the Manual. The line officer is responsible for the work of all his subordinates, including those in his office or unit and those in line units reporting to him.

Exceptions to the general policy above may be made in National Forest administration for non-resource-management activities, such as road construction and maintenance, work done by contract, and work in technical fields for which the line officer is not professionally qualified. The land and resource management responsibility and authority are not taken from him except for specific, justifiable reasons. The action with reasons therefor must be stated in writing, and is subject to review by the next higher line officer. Generally, such changes in responsibility and authority are of short duration, lasting until the condition causing the change is corrected.

Deviations from the general policy exist in the research organization, where special qualifications for certain types of work are required. For example, the Director of the Forest Products Laboratory conducts forest-products research applicable throughout the Nation without regard to the territorial boundaries of the experiment stations. Also, some types of specialized research are conducted directly by the staff of experiment station directors. For efficiency and economy, much fundamental research is conducted by specially qualified individuals and groups without regard to territorial areas. Better coordination can be achieved by organizing such work directly under the sta-

## TYPICAL REGIONAL OFFICE ORGANIZATION



tion director. For these reasons, the research centers are excepted from the general policy of territorial organization. They are organized by territories or by functions or by a combination of both, depending on the needs of the research programs.

Recent organization studies have resulted in a trend toward a project-leader type of organization. This will result in a greater depth in research activity.

Delegations of authority for specific actions, generally in the fields of operation, personnel management, and fiscal control, as shown by the following examples, may be made to individuals subordinate to the line officer. The line officer may not overrule or circumscribe the actions of the subordinate in his exercise of such authority. The line officer may appeal the subordinate's decision through administrative channels to the appropriate officer or agency from whom the delegation derives. Examples are: certification of vouchers for payment by disbursing officers; disposition of collections by designated collection officers; position classification actions by the delegated classification officer; and any action reserved to the designated procurement contracting officers.

### **Principles and Their Application**

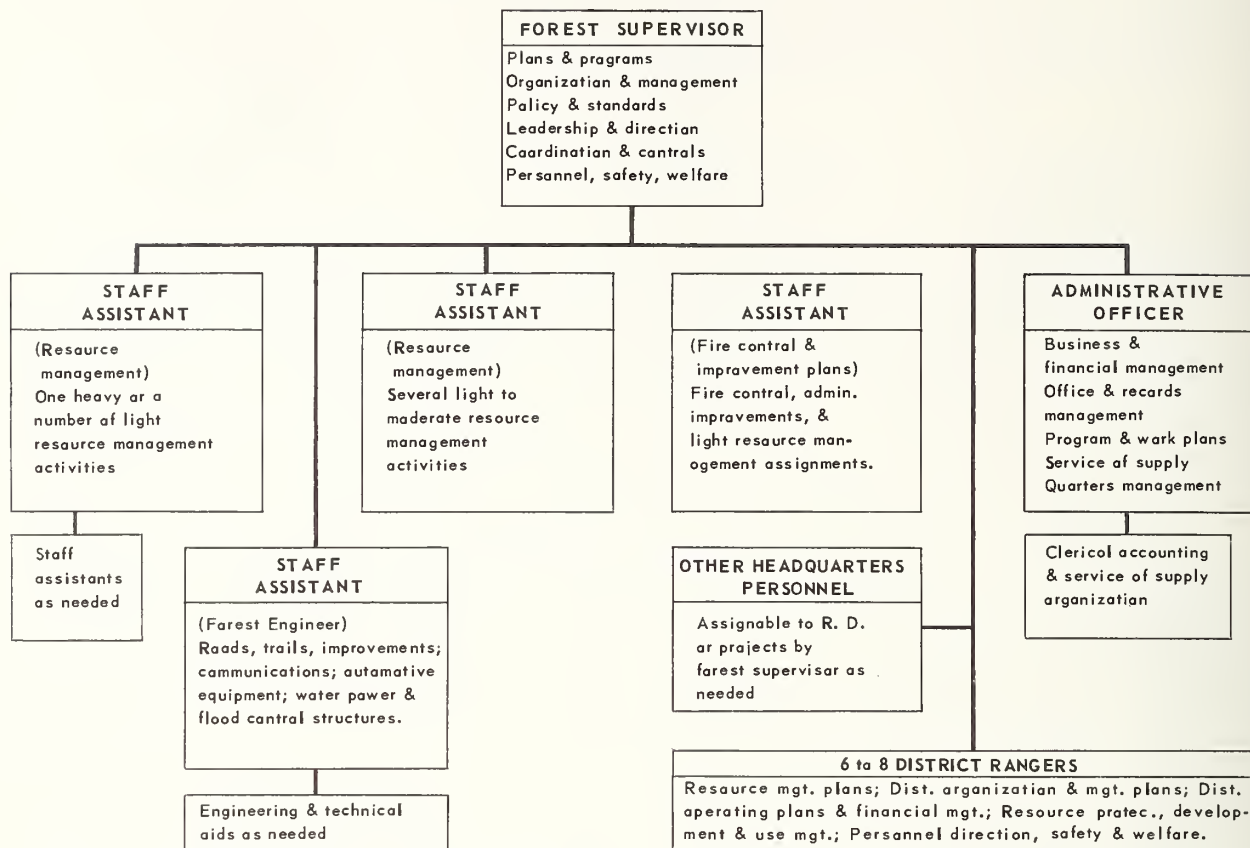
Delegation is a prime management essential in successfully administering a large decentralized organization. Efforts to delegate sometimes fail

because forest officers do not understand what is involved or how to delegate without losing control. The following discussion is designed to help line officers delegate successfully, with minimum strain on themselves and their subordinates.

Delegation is the process whereby a line officer divides the work assigned to him so that significant portions of the whole job may be effectively assigned to subordinates. Delegation is necessary to obtain acceptable performance at minimum cost. The decisions and actions involved in the successful conduct of programs require many forest officers to do various parts of the total job. The Chief must share the work and responsibility assigned to him. Each line officer in turn must do the same. The real purpose of delegation is to give each member of the organization the freedom he needs to do the work assigned to him. For this reason Forest Service policy requires full delegation all along the line, including necessary provision for guidance, coordination, and control functions. Delegation includes the elements described below.

1. *Responsibility.*—Responsibility is the work assigned to a position. It includes both the mental and physical activities involved in each specific assignment. The responsibility of a line officer includes all the duties assigned to his organizational unit. Every person who performs work of any nature has responsibility to some degree. This is true for the Chief and for every other For-

## TYPICAL NATIONAL FOREST ORGANIZATION CHART



est Service employee. Every line officer shares his work responsibilities with his subordinates. This has to be done wisely and in a manner designed to encourage each employee to do his best.

In a large decentralized organization, responsibility can and must be delegated. Full acceptance of delegation by the subordinate officer is of equal importance, for delegation is a two-way process embodying willingness and ability of both superior and subordinate. Delegation sometimes fails because the subordinate does not wholly understand what it includes or because he is unprepared or unwilling to accept full responsibility.

2. *Authority*.—Authority is the power needed to do the work delegated or to cause it to be done. The term “delegation of authority” is used so frequently that the full meaning is sometimes forgotten. Proper delegation of authority is one of the sure indicators of effective teamwork. It is one of the best ways to give every employee an opportunity to contribute according to his ability.

Every delegation of responsibility should be accompanied by a commensurate delegation of authority. Ordinarily this authority as delegated is somewhat less than that of the superior making the delegation. It must, however, be sufficient to

permit getting the work done. Invariably, it includes authority to prepare plans for the work, to recruit or request necessary personnel, to procure or requisition supplies and equipment, and to exercise normal supervision and control.

The authority discussed above is line authority or position authority. In addition, there are two other kinds of authority that govern or influence Forest Service work:

A. *Legal Authority*. Legal authority is fixed by law or regulation. This authority may not be changed, augmented, or diminished by Forest Service administrative action. It is binding on all employees, and prepares the way for administrative action.

B. *Authority of Knowledge*. Some officers have authority because of their knowledge of a given subject or activity. Because senior officers really know about a given subject, they frequently influence action even though line authority for it may be vested elsewhere in the organization.

3. *Accountability*.—The third and last essential element of delegation is accountability of the obligation to perform the work and to exercise the responsibility and authority delegated in accord-

ance with established policy, performance standards, and approved operating plans.

1. *Loss of Control.*—Most forest officers start in the junior grades; therefore, they have at the outset full control of the job, with advice and work direction close at hand. Control of line units or broad programs is largely absent or remote because these are far up the line. However, as these officers develop and mature, responsibility is increased until much of it must be shared without decreasing the accountability; hence the necessity of control. Control procedures must be applied in a way which assures the manager that the work is proceeding according to plan, and the person doing the work is not handicapped by the controls used. The Forest Service accomplishes necessary control through formal and informal procedures—functional supervision which will be discussed later in this book.

Each line officer must make sure that his responsibilities are properly delegated, including provision for the necessary control. This requires precision planning.

2. *Coordination Difficulties.*—Forest Service managers must time, integrate, and unify action on all activities so that balanced performance will be achieved for all their assigned activities and functions. This becomes more difficult as responsibilities increase. Success usually lies neither in less delegation nor in more control, but in better planning and functional supervision. The team approach, with each member clearly understanding just what is wanted and accepting his full share of the load, minimizes coordination difficulties.

3. *Individual Inhibitions.*—The ability to delegate wisely is the mark of a good manager. Overcoming individual characteristics that prevent or make difficult full application of Forest Service delegation policy, either on the part of the officer who delegates or the officer who receives the delegation is a necessary task.

### **How Delegation Is Accomplished**

To insure reasonable uniformity throughout a decentralized organization, the Chief must establish normal delegations for each regular line position. This is accomplished by appropriate delegations as explained in the Manual. The Manual is designed so that delegations are set forth for each program, function, and job together with essential policy and procedural instructions.

Each subordinate line officer in turn must carefully consider the normal delegations, established by the Chief, that apply to him. Since organizations are made up of people of varying capabilities, it may be necessary to modify the normal delegation to achieve acceptable performance. Consequently, each line officer is authorized to modify normal delegations when in his judgment this is necessary to insure adequate performance. This is invariably done in writing. Any normal

delegation modified by a subordinate line officer returns to normal as soon as the local situation which caused the deviation is corrected.

To insure full understanding of the responsibilities assigned to each individual and each unit of organization, Forest Service policy requires the preparation of unit organization charts and statements and the inclusion of principal responsibilities in the job description for each position.

Unlike the first two elements—responsibility and authority—the third element, accountability, cannot be delegated. The officer who accepts delegated responsibility and commensurate authority must stand ready to report and answer for the success or failure of the work entrusted to him. For example, a district ranger has delegated responsibility and authority for most of the work that is done on his district. He alone is accountable to the forest supervisor for work performance on the district. The forest supervisor in turn is fully accountable to the regional forester for responsibilities entrusted, through delegation, to the forest level. Accountability may not be shared with a subordinate. A subordinate, however, may be held accountable if he has been delegated responsibility with commensurate authority.

### **Reluctance To Delegate**

There are several reasons why forest officers fail, or are reluctant, to delegate properly. The reasons listed below must be understood and overcome before Forest Service delegation policy can be fully applied.

The delegations of responsibility made in the above manner are still only on paper; they are not necessarily in the minds of the officers who must share these responsibilities and those who must do the work. Neither does this process necessarily delegate commensurate authority for delegated responsibilities nor establish clear accountability for them. Clear understanding of these very necessary actions is obtained by including them in operating plans and in supervisory and administrative practices.

### **Delegation Guides**

1. *Chief.*—The Chief and assistant chiefs confine their efforts largely to major policy formulation, program direction, major plans, and agreements, and to reviewing and approving key personnel and project decisions. The Washington office divisions work with the regions and experiment stations within the framework established by policy for the activities or functions assigned to them.

Based on the organizational procedures briefly outlined above, it follows that the principal responsibilities of the Washington office are:

a. National leadership in the fields of forest conservation and forest or mountain watershed management.

b. Servicewide guidance and coordination

for all programs, activities, and functions.

c. Formulation and application of performance controls to be used internally for management purposes and externally to demonstrate adherence to legal and administration policy requirements established by higher authority.

d. Expert advice and assistance to regions and experiment stations on difficult or unusual problems.

With minor exceptions, the responsibilities retained by the Chief for the Washington office are directly associated with the above-described responsibilities. The rest of the total job is delegated to the field—research functions to experiment stations and research centers; State and private forestry cooperation and National Forest functions to regions, forests, and districts.

2. *Regional Forester and Experiment Station Director.*—The responsibilities of a regional forester and a station director are almost identical to those of the Chief for the Washington office, except that their responsibilities are narrowed down to region and station boundaries and sharpened for local application.

Research work may be accomplished directly by staff members of the responsible station, or it may be delegated to a research center or project leader reporting to the station.

National Forest work is delegated largely to the forests and ranger districts. Very little actual production work is assigned to regional staff officers. Certain specialized work that can best be done at a central point, such as mapmaking and the operation of field printing plants, is done by the regional office.

3. *Forest Supervisor.*—A forest supervisor has overall responsibility at the forest level in very much the same way as described for the Chief and for a regional forester, at those levels. However, since district rangers do most of the work and conduct almost all National Forest business, a supervisor properly devotes much of his time to review and approval of program and project plans and to functional supervision designed to insure compliance with Forest Service policy and procedural work standards. A recent study indicates the need for using the forest as the planning unit and the ranger district as the executing unit.

Ranger district organizations ordinarily are not designed to conduct large nonrecurrent jobs or development work such as building roads, bridges, or other structures. These are usually projected out of the supervisor's office, and ranger participation includes planning only.

4. *District Ranger.*—The ranger district organization is designed to conduct virtually all recurrent forest resource and protection programs and activities. Accordingly, normal delegations made by the Chief strive to place responsibility for resource management and forest protection program execution on the ranger district. Either the supervisor's staff or the regional staff furnishes

professional assistance to the ranger when needed. This means that the ranger is responsible for execution of plans developed on a forest basis. The ranger still assists in priorities, standards, and overall coordination, but he is relieved of the detailed planning requirements.

### *When To Adjust Normal Delegations*

Forest Service responsibilities inherent in decision-making require both managerial and professional competence. Hence, consideration must be given to the qualifications of subordinates before they are entrusted with final responsibility for management actions or important decisions.

New programs or jobs are assigned from time to time, or a specific area of an assigned function may require more intensive consideration. When this happens, the Chief may require specific Washington office review and approval until experience has been gained by responsible field officers and appropriate policy and procedural guides have been prepared. This situation may be equally true for an experiment station and a research center, a region and a forest, or a forest and a ranger district. Normal delegation is made as soon as experience has been gained and work competence demonstrated.

The tendency to withhold normal delegation until full competence has been demonstrated by the subordinate must not prevent adequate, gradual delegation. Central review and approval can easily be overdone. The superior can so immerse himself in detail that the elements of his job which only he can do are neglected.

Subordinates should be encouraged and assisted to gain necessary managerial and professional competence. One of the best ways to do this is to give them full responsibility and commensurate authority for the work and hold them accountable for results. Safeguards can be established through functional supervision, during which the superior reviews the work and discusses results with the subordinate. Experience has demonstrated that field officers do a much better job and develop competence much more quickly when they are given full responsibility for the work. Consequently, central review and approval should be used sparingly and only for critical situations, and then only when functional supervision cannot be used effectively.

### *“Acting”*

In an organization as farflung as the Forest Service, the heads of organizational units, both line and staff, are frequently not available for varying periods, or a position becomes vacant owing to transfer or other reasons. When such situations occur, the policy is to designate a subordinate to act for the head of the unit.

The practice of “acting” for the head of a unit provides for someone in authority to make decisions, sign mail, speak for his superior, and take prompt action as required; aids coordination and



speeds action; and provides training for subordinates by periodically placing them in a position to make management decisions and take action normally taken by the superior officer.

## Organization of Line Units

Within the Forest Service, the line units are the Washington office; regional offices; experiment station directors' offices and Forest Products Laboratory; forest supervisors' offices; research center organizations; ranger district organizations; and land-utilization area organizations.

### Washington Office

The Chief of the Forest Service reports to the Secretary of Agriculture through the Assistant Secretary for Federal-State Relations. The Washington office is organized into functional divisions headed by directors who are specialists in their functional fields. Examples are the Division of Timber Management and the Division of Personnel Management. The divisions are staff units established to provide specialized knowledge and advice to the Chief, and to give technical direction and guidance to subordinate line officers.

To provide coordination and to reduce the span of control, divisions doing related work are grouped under the administration of an assistant chief. For example, all divisions concerned with the management and utilization of National Forest resources are responsible to the Assistant Chief for National Forest Resource Management; while all divisions concerned with research report to the Assistant Chief for Research. Each of the following areas of work is directed by an assistant chief:

1. National Forest Resource Management
2. Program Planning and Legislation
3. National Forest Protection and Development
4. Research
5. Administration
6. State and Private Forestry

There is one exception to the grouping of divisions under assistant chiefs. Internal Audit reports directly to the Chief in accordance with the principle that independent audits cannot be made by a unit under the control of an officer whose work is being audited.

*General Delegations to Assistant Chiefs.*—Assistant chiefs are staff officers responsible to the Chief for the administration of the functions assigned to them. They have authority delegated to them by the Chief to direct and control the activities of subordinate line officers and to this extent they function as line officers. This delegation of line authority is limited to those phases of administration which do not involve:

1. Decisions or acts required by law or Secretary's regulations to be made or done by the Chief.

2. Important or new changes or variations from established policy or practice.

3. The responsibilities of other assistant chiefs, unless cleared by the other interested assistant chiefs.

4. Relations with the Secretary's Office and other agencies or branches of Government at the national level, except as specifically authorized.

*General Delegations to Division Directors.*—Division directors are primarily staff specialists. They are technical experts in their functional activities. Through their assistant chiefs they establish, interpret, and enforce technical operating procedures (1) within the limits of previously established up-to-date basic policies and instructions, and (2) for functions assigned to them.

### Regional Offices

For the purpose of administering all activities except Research, the Forest Service is organized into ten regions. Nine regions are located in the continental United States and one is in Alaska. The regions are identified by numbers, 1 to 10, but are also referred to by names such as "Southern Region," "Pacific Northwest Region," etc. The geographical boundaries of the regions and the location of their headquarters are shown on page 2.

The regional office is the line unit established to administer the affairs of the region. It consists of the regional forester and personnel assigned to his office. Regional offices are organized into functional divisions headed by assistant regional foresters (division chiefs) who are specialists in their functional fields. The number of divisions and the grouping of functions within each vary according to the functional workloads and technical requirements. For example, the functions of operation and personnel management may be combined in one division in a region with a relatively light workload in each, while in another region with a heavy workload or more difficult problems, a separate division may be established for each function.

Divisions are staffed with specialists and other personnel needed to accomplish the work. These people may be organized by sections under section heads as necessary. A typical regional office organization is shown on page 13.

*General Delegations to Regional Foresters.*—The regional forester is the line officer responsible to the Chief for the administration of all Forest Service activities in the region except Research.

Authority commensurate with this responsibility is delegated to him by the Chief. This includes direction and control of all personnel assigned to the region. The degree of the regional forester's responsibility and authority for specific actions and decisions is defined in Forest Service Manual and other components of the directives system.

*General Delegations to Division Chiefs.*—The division chiefs (assistant regional foresters or comparable officers) comprise the immediate staff of the regional forester. They furnish him with the specialized assistance and advice he needs to redeem his line responsibilities.

Overlaps or conflicts in responsibility and authority between divisions are resolved by local supplements to the directives system. Any expansion of or limitation on the general delegation of authority and responsibility defined above is similarly published for the guidance of subordinate line officers.

*Special Projects.*—Deviations from the usual pattern of organization sometimes are necessary. Specialized requirements may dictate the organization of units in the field reporting directly to the regional forester. When this is done, the relationship between the unit and the regional office is similar to that of the National Forest and regional office. In some cases, field units established for special purposes report directly to the division chief who functions as the line officer responsible to the regional forester. Whenever special projects are set up, the relationship to the basic organization is described in local supplements to the Manual.

### **Experiment Stations and Forest Products Laboratory**

There are ten Forest Service experiment stations located in the continental United States. Research work, other than that specifically assigned to the Forest Products Laboratory, within the geographic boundaries of each station's territory is the responsibility of the station director. Research of national scope in forest products is conducted under the leadership of the director of the Forest Products Laboratory at Madison, Wisconsin. The Institute of Tropical Forestry, reporting directly to the Chief's office, is located in Puerto Rico. The boundaries and headquarters of each experiment station are shown on page 19.

Experiment stations are organized by technical subject-matter divisions, each under the direction of a division chief who is a specialist in his field. Administrative functions and services are combined in a division of station management reporting to the director.

*General Delegations to Directors.*—The experiment station director is the line officer responsible to the Chief for the conduct of all research activities, except those assigned to the Forest Products Laboratory, in the geographic area assigned to him. His responsibility includes the direction and control of all personnel assigned to the station and its subunits. Technical guidance from Washington office staff specialists to the station divisions is channeled through him.

The director is delegated general authority from the Chief to supervise, direct, and control all activities assigned to him. The degree of respon-

sibility and authority for specific actions and decisions is defined in the directives system.

*General Delegations to Division Chiefs.*—The experiment station division chiefs comprise the immediate staff of the director. They furnish specialized, technical advice and assistance to the director. In addition to this staff function, they serve as line officers in carrying out research projects. Division chiefs are delegated general responsibility and authority to coordinate, direct, and control station research programs within the limits of written director's policies; their assigned functions; and specific authorizations given them.

Questions involving overlaps of or conflicts in responsibility and authority between divisions are answered by local supplement to the Forest Service Manual. Likewise, any increase or limitation of the general authority described above is recorded for the guidance of concerned personnel.

Because of the specialized nature of research work, special tasks are sometimes set up independent of the usual line organization. These tasks are generally assigned to the division chief or a member of his staff working under his direction.

### **National Forests**

The National Forests are line units which are subdivisions of the region. Each National Forest is under a forest supervisor who is responsible to the regional forester for all activities, except research and State and private forestry programs, within the geographical area of the National Forest.

The forest supervisor's office is organized to provide direction, coordination, and control of the work done on the ranger districts. It is organized generally on a functional staff basis, with specialists in one or more related functions providing assistance to the supervisor. The number of staff officers and their assistants is determined by the amount of resource management workload as computed in the correlated standards, adjusted to current financing. Additional staff personnel may be assigned to the supervisor's office for nonresource management work, such as project engineering. The staff organization includes the administrative officer who directs the nontechnical activities of the unit. He also directs the clerical organization which provides service to the supervisor and staff.

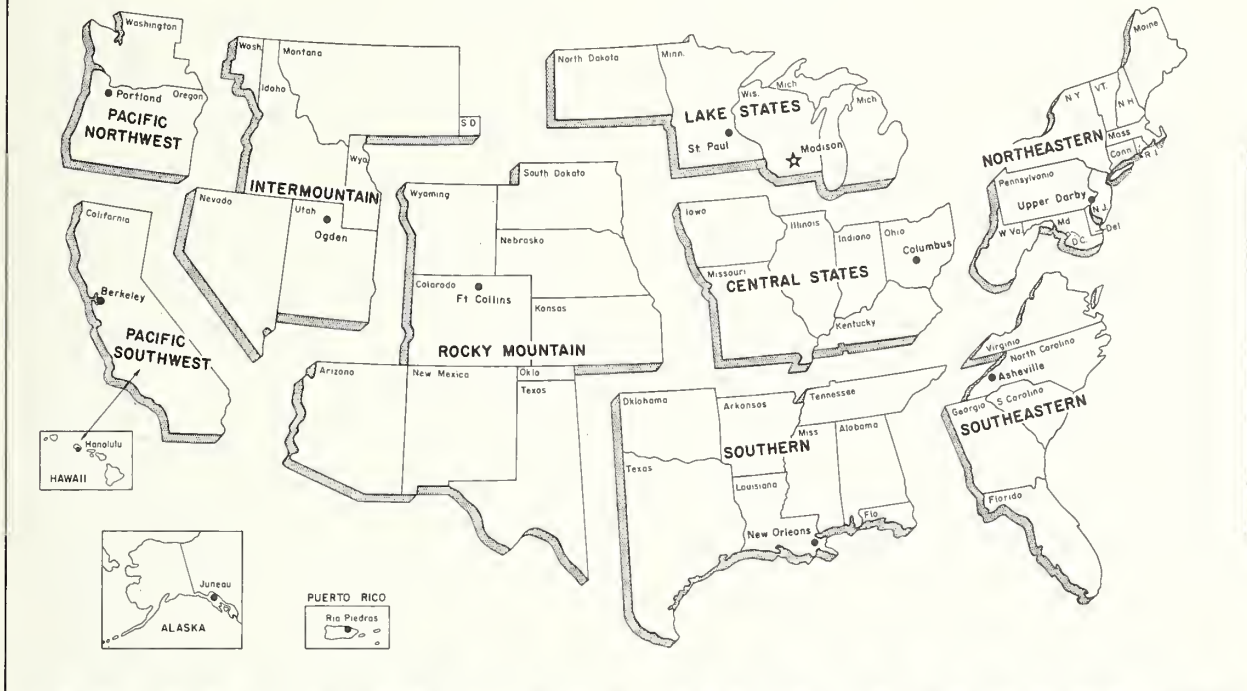
Nonstaff specialists in other than resource management activities (construction and maintenance foremen, communication technicians, etc.) may be assigned to the supervisor's office when needed to provide services to the districts.

*General Delegations to Forest Supervisors.*—The forest supervisor is responsible to the regional forester for the protection, development, and utilization of all the resources of the National Forest and for facilitating activities as assigned. He is delegated authority necessary to redeem this responsibility subject to laws, regulations, policies,

## FOREST SERVICE EXPERIMENT STATIONS AND FOREST PRODUCTS LABORATORY

● Station Headquarters

★ Forest Products Laboratory



standards, and plans as established or transmitted by the regional forester; limitations on specific actions and decisions as stated in the directives system; and the authority delegated to regional office division chiefs to establish technical operating rules and procedures.

He is responsible for the work and activities of all staff and line personnel assigned to his National Forest, and has authority to direct and control their activities within the limits prescribed above.

*General Delegations to Staff Officers.*—Staff officers are primary staff men who have been delegated a degree of authority to act for the forest supervisor in coordinating and directing forest activities in the functions assigned to them. Subject to policies, plans, and instructions established by the forest supervisor, they are responsible for forestwide planning, coordinating, reviewing, and directing the technical aspects of their individual functions. The staff officers are delegated authority to prescribe and enforce technical methods and procedures for the guidance of district rangers. They are not in charge of the execution of resource management work on the districts.

*Nurseries.*—Forest tree nurseries are operated on some National Forests. The nursery is a separate

administrative unit, the head of which reports to the forest supervisor. Organizationally, it is parallel to the ranger district. Technical guidance to the nurseryman in charge may be given by staff specialists in the regional and forest supervisor's office, but responsibility for results and authority for administration are vested in the forest supervisor and nurseryman as line officers.

*Other Research Locations.*—Many research units of a regional experiment station are located away from the station headquarters. These may consist of a single four- or five-man project—the basic organizational subdivision in research—or a group of as many as six or eight projects totaling 30 or 40 scientists. The program of any such unit may lean heavily toward applied research, or it may consist primarily of fundamental research of great depth. More commonly, however, there is a balanced blend of the basic and the applied. Project assignments are made in terms of specific subject matter fields, and geographic boundaries are unimportant. Each project is the responsibility of a designated project leader who reports directly to his division chief.

*Ranger Districts.*—The ranger district is the basic line unit for administration of the National

Forests. It is on the ranger district that the actual management of the land and its resources is practiced. The district ranger must be personally familiar with the resource conditions and needs, and must personally participate in all activities to the extent needed for managerial control.

Ranger districts are manned to meet the specific workload needs of each one as determined by workload analysis, correlated standards, and available funds. Assistants to the district ranger, ranging from common laborer to professional technicians, are assigned as needed to accomplish planned work.

Organization and assignment of duties depend on the work to be done. This requires differences in organization from district to district. The general policy is to hold purely functional assignments to a minimum. Multifunctional assignments to ranger district personnel provide better training for advancement, better coordination of effort, and closer adherence to the policy of multiple-use management.

The district ranger is the professional land manager of his district. As such he is responsible for executing the measures needed for protecting, developing, and utilizing the resources. Responsibility and authority of district personnel below the district ranger are defined by position description, and amplified by district organization charts, work plans, and job lists.

### Special Organization Units

Organizational units outside the normal line of authority and reporting directly to an officer designated by the Chief have been established for special purposes and reasons. They are listed below with a brief statement of purpose:

1. Institute of Tropical Forestry to conduct forest research relating to tropical areas outside the continental United States, reporting to the Assistant Chief for Research.
2. Radio Laboratory to develop, test, and improve radio communication instruments and other electronic applications for the special needs of the Forest Service, reporting to the Communication Officer, Division of Administrative Management, Chief's office.
3. Equipment Development Center at Arcadia, Calif., to develop, test, and improve fire control and other heavy equipment to meet the requirements of the Forest Service, under the administration of the Regional Engineer, R-5, with program direction by the Chief's office.
4. Equipment Development Center at Missoula, Mont., to develop, test, and improve specialized fire equipment related to aerial firefighting operation, under the Chief, Division of Fire Control, R-1, with program direction by the Chief's office.
5. Forest Insect Laboratory at Beltsville, Md., to conduct studies on a national basis in

aerial surveys and spraying for the control of forest insects, reporting to the Director of the Division of Forest Insect Research, Chief's office.

6. Forest Disease Laboratory at Beltsville, Md., to conduct identification studies in forest pathology on a national basis, reporting to the Director of the Division of Forest Disease Research, Chief's office.

7. From time to time, members of the Chief's office are assigned to the field to perform special jobs. When so assigned, they report to a designated officer in the Chief's office rather than to the line officer in the field.

### Manning Forest Service Organization

Organizing is simply a device for putting people in the best position to get work done. Actual accomplishment depends on getting the right people in the right place in the organization. Therefore, effective manning is as important as effective organizing.

The Forest Service strives to staff its organization with qualified people, assigned to positions for which they are best fitted by education, training, and temperament. Basic qualifications for positions established by the U.S. Civil Service Commission are supplemented as needed to fit specific Forest Service requirements. The policy of promotion from within the organization is adhered to and is implemented by training and development programs designed to maintain an adequate pool of people qualified for more important positions.

The purpose of employment is to provide people for positions which have been found necessary by the organizing process to meet work requirements. Selection and assignment of personnel are governed by position requirements. Organization is not modified or adjusted to permit selection and assignment of personnel based on anything but the needs of the job.

Recognizing that fully trained and qualified people are not always available, training and development programs are used to make sure that positions can be filled by competent persons when needed.

Those who supervise others are responsible for maintaining organization integrity. This is a major responsibility of line officers. They must see to it that their units operate in accordance with the approved organization pattern, or recommend or make changes within their authority, when needed.

### Dynamics of Organization

An organization, once established, cannot remain unchanged indefinitely. It could be static only if all conditions on which the organization is predicated remain the same, which is improbable.

The basic structure of an organization, such as the line and staff framework of the Forest Service,

may remain sound and usable for many years because the basic mission does not change; however, conditions which dictate the organization components within the framework do change frequently. The amount of work, the funds available, the complexity of the work, the means and tools provided, and many other factors determine the number and kinds of people needed and the way they should be organized. Therefore, the organization must be currently or periodically adjusted to meet changing needs and conditions.

The Forest Service organization is maintained to meet current work requirements. Approved methods of administrative management are used to determine staffing needs. Organization conforms to the basic line structure, and delegations of responsibility and authority are prescribed in the Manual. The following sections point up major factors to be considered in making organizational changes.

1. *Review of Present and Anticipated Programs.*—New programs are instituted, old ones are terminated, continuing ones change in direction or emphasis. Changes in existing programs can generally be determined in advance, and new programs and requirements can often be foreseen. Program changes may or may not require adjustments in organization and assignments; however, it is essential that programs be constantly reviewed to anticipate needed changes in organization. The same principle applies to major changes in methods and procedures.

2. *Budgets and Financing.*—Moneys appropriated or allocated for Forest Service work vary from year to year, and budgets must be set up within the limits of available funds and in accordance with authorized purposes of expenditure. The financial situation may also change during the fiscal year for reasons beyond the control of the administrator. Whenever there is an immediate or anticipated significant change in available funds, a review of organization is needed.

3. *Personnel Adjustments.*—Changes in organization demanded by changes in programs, workloads, finances, procedures, or other reasons always require some personnel adjustments. These range from reassignments to separations due to a reduction in force. Necessary personnel adjustments are made whenever changes in organization occur.

## Workload Analysis

In order to properly organize work into manageable units, the various job elements must be defined; standards of quality and quantity must be established; and a basis for measuring production requirements must be set up. A system of workload analysis for making these determinations has been adopted by the Forest Service. This workload-analysis procedure when properly correlated provides the means for distributing available funds to various units on the basis of workloads measured

by the same standards. It also forms the basis for determining manpower needs at various levels of organization.

At present, the correlated workload analysis for the National Forest level includes mostly recurrent work in protection and management. It will be expanded to include all work financed from all funds. The correlated workload analysis is revised periodically to bring the work standards and the bases for determining time allowances up to date. At the same intervals, current volumes of business for selected jobs are determined for each administrative unit. The volume of business (that is, units of work) multiplied by the unit time allowance gives the manpower needs. Since some volumes of work vary significantly from year to year, adjustments may be made annually for those functions or activities.

The correlated standards are prepared and maintained by the Chief's office from information gathered, coordinated, and submitted by field units.

In short, the correlated workload analysis provides a uniform system of estimating needs, and of manning and financing organizational units equitably.

Time allowances are integrated for related jobs when a common work element benefits more than one job. For example, when two elements of a job are to be performed at the same place during the same period, the time required to do the total job is divided between the two elements instead of setting up the time which would be needed if each element were done as a separate operation. This integration is a significant feature of the correlated workload analysis and must be understood by the user.

Time allowances are also correlated to get similar allowances for like jobs and adjustments for significant variables when methods or conditions are different. Thus, when one region is operating in timber that averages 10 M bd. ft. per acre and another in areas that average 50 M bd. ft. per acre, the cost per M for doing the various timber sale jobs must be correlated to set up an equitable relationship and unit time allowance for each.

Performance standards established by technical or administrative divisions or officers and the standards used in the correlated workload analysis must be uniform.

The present correlated workload analysis for regional offices, unlike the one for National Forests, is a measure of the work performed for all work programs and consequently provides an all-fund base. Other features are similar to those described above for the National Forests, except that the jobs are concerned more with administrative problems connected with program leadership, policy development, training, and inspection. Consequently, they are more difficult to evaluate on a precise and absolute basis than the "doing" jobs performed on the National Forests. Work

measurement is correlated to get reasonable accuracy for comparisons between regions, including clerical jobs.

A servicewide composite job list is maintained. This job list is of use in developing workload analyses, work programs, work plans, trip and job schedules, and wherever a composite list of Forest Service jobs is needed. The list is designed to serve the needs of all organization levels from the ranger district to the regional office.

### ***Tailor-Made Workload Analysis***

Since conditions vary considerably between administrative units, workload requirements as determined by use of the correlated workload analysis must be refined for specific jobs and for specific organizational units. Also, the basis for setting standards and determining time allowances must be established by field checks.

For these reasons, tailor-made analyses of the workloads of selected organizational units are made periodically. Information for the analyses is derived from time records and studies, work plans and plan adherence records, and estimates made by local personnel based on their personal knowledge of the work and conditions. The ma-

job pitfall to avoid is the acceptance of past performance as a basis for future requirements of any job.

Analyses are made, as needed, of selected segments of work on an interunit basis to gather and correlate data for establishing work standards and requirements. Workload analyses are also made as needed under direction of the Chief, regional foresters, and experiment station directors to control the organization and staffing of Forest Service units.

### **Allotment Bases**

In addition to the analysis of manpower requirements for administrative and clerical personnel needed to administer the regular recurrent work program, other analyses are made to provide a systematic method of distributing available funds for such requirements as space and utilities at offices and headquarter stations, maintenance of improvements, etc. The tabulation of such recurrent and oftentimes fixed expense and evaluation of costs provides the basis for the development of other types of allotment bases to accomplish this equitable allotment distribution.

## Chapter 4

# Management

In order to carry out efficiently the responsibilities assigned to the Forest Service by the Secretary of Agriculture, all activities are conducted in accordance with good management practices designed to assure efficient, economical, and satisfactory performance. This chapter defines the management methods used and established policies and standards for their use.

All Forest Service work is done to the standards of quantity and quality prescribed in the directives system. Standards are coordinated between functions to achieve balanced programs, and are set up to be reasonably attainable within available financing.

Planning is one of the management aids used by the Forest Service for all types of work at all levels. General planning principles and general plan requirements are covered in this section.

### Overall Conservation Planning

In order to carry out the mission assigned to the Forest Service, continuing review and overall appraisal of the forest, range, and watershed situations in the United States are necessary; also, continuing review and appraisal of the ability of these resources, under present and prospective conditions of management and utilization, to meet current and future demands. Based on such review and appraisal, broad and comprehensive programs of action and legislation designed to assure a desirable and fully adequate forest, range, and water economy in the United States are formulated and, when necessary, recommended to the Secretary and Congress. The following are the major elements of overall conservation planning.

1. *Studies and Surveys.*—Nationwide studies, surveys, or appraisals are made as needed to determine forest, range, and watershed conditions. In addition to nationwide studies or surveys, others of more limited application are made, often in cooperation with other agencies of the Department of Agriculture and other departments of the Federal Government. These and other studies and surveys provide the information needed to formulate action programs or to prepare recommendations for legislation to authorize programs.

2. *Cooperation With Others.*—In order to obtain further information needed for overall forest conservation planning, the Forest Service maintains cooperative relations with representatives of interested agencies and organizations.

3. *Research.*—The research programs provide basic information used in conservation planning. Development of new uses for forest products, methods for increasing productivity, better land and resource management practices, and improved harvesting methods assists in determining the direction and scope of major programs.

4. *Coordination.*—The Chief and his staff coordinate the overall conservation-planning activities of the Service.

### Long-Range Planning

Continuity of management is essential to the proper protection, development, and use of wild land resources. Provision must be made for maintaining continuous productivity of land while fully utilizing the resources. Since trees take a relatively long time to mature, their management must be governed by plans projected well into the future. Plans must assure the continuation of objectives and policies despite managerial changes through the years.

In the Forest Service, continuity of management is achieved by the use of long-range plans which, once approved, are binding on administrators until revised or amended. Long-range plans designed to attain the program objectives must be implemented by action or operating plans. These establish the specific work to be done by various individuals or segments of the organization during a limited period. To tie in with financing, the planning period is generally the fiscal year, but some types of operating plans may cover a period of more or less than a full year.

Programs of work are statements of objectives and major jobs to be accomplished by designated individuals and units within specified periods. They include quotas to be filled, time limits, and standards of quality. They do not list the entire workload for the individual or unit, nor do they list all the factors found in a complete plan. In effect, the program of work emphasizes the main jobs to be done and assigns responsibility for getting them done on time. The following work plans are required and prepared in accordance with standards and instructions.

1. *Chief's Program of Work.*—The Chief's program of work is prepared annually, setting up objectives and jobs on a fiscal year basis. It may include some major assignments for a period longer than 1 year when desirable. The program

includes objectives and jobs for the Service as a whole, as well as assignments to the Chief's staff in the Washington office. Washington office staff assignments that do not affect field operations are deleted from the version sent the field.

The Chief's annual work program is sent to regional foresters and experiment station directors with a covering policy letter from the Chief in time to be used by them as a basis for preparing the regions' and stations' work programs for the fiscal year.

2. *Regional Forester's Program of Work.*—Each regional forester prepares annually a regional work program for the fiscal year for the guidance of his staff and the forest supervisors in planning their activities. The program shows program emphasis, priorities, quantity and quality of work to be done, responsibilities, assignments, and completion dates.

3. *Experiment Station Director's Program of Work.*—Directors of the experiment stations and the Director of the Forest Products Laboratory prepare annually a work program for their respective organizations. It lists and assigns major tasks to be undertaken and goals to be attained during the year in the development and conduct of the research program.

4. *National Forest Uniform Work Planning System.*—Work planning is necessary for the efficient operation of the National Forest administrative units of the Forest Service. The system gives emphasis to the planning operation. The uniform system of work planning on a fiscal year basis provides the elements necessary to operate a well-organized unit of management. The system facilitates the integration of fund allowances made on an equitable workload basis for the forest and ranger district organization in terms of who will do what, when, and how much.

The specific objectives in the uniform work planning system are to provide for:

(1) The accomplishment of technical and managerial work at the district level by a managerial group so designated.

(2) Determination of equitable and realistic individual and group workloads based on financing.

(3) A balanced resource management job within established general instructions and goals.

(4) An annual work and financing contract understood at all levels.

(5) Accomplishment checking.

(6) Determination of training needs and the development of training programs at all levels of organization.

(7) The use of time factors as influenced by local conditions and experience of personnel.

(8) Consideration of all items of cost, such as equipment use and mileage, materials, supplies, and per diem.

(9) Smoothing out the impact of peak activity periods.

(10) Integration of supervisor office and ranger district plans into a total forest plan of work.

A. *Supervisor and Staff Annual Plan of Work.* The objectives of work planning for supervisor's office personnel are to provide for (1) identifying, describing, and assigning time and priorities to specific jobs which the supervisor decides warrant such treatment, (2) general program supervision and participation (general planning, supervision, and inspection in each program field) and (3) time to plan and supervise in the general administration of the forest.

The annual plan of work for the supervisor and staff is prepared under uniform work planning procedure as prescribed and recognizes (1) program direction established by the Chief's and region's program of work, (2) recurrent workload and standards in the National Forest correlated workload analysis, and (3) available finances for the forest.

B. *Ranger District Annual Plan of Work.* The objectives of the uniform work planning system prescribed for ranger districts are to provide:

(1) A comprehensive list of "doing" and "supervising" jobs and specific assignments of them to the ranger, his principal assistants, and key district personnel.

(2) A method of project work planning which establishes priorities and correlates available manpower, materials, and equipment into an efficient organization for work accomplishment.

(3) An integration of ranger district and forest staff work planning as a total forest plan of work.

The ranger district annual plan of work is prepared under the uniform work planning system procedure as prescribed, and considers for broad direction (1) the goals set forth by the forest supervisor to meet the objectives of the programs established by and described in the Chief's and regional forester's annual program of work, and (2) the recurrent district workload as reflected by the National Forest correlated workload analysis.

The culmination of all annual planning under the uniform work planning system is on-the-ground action and accomplishment. Action on periodic plans must therefore be integrated into, as well as be an integral part of, the annual plans. Noting accomplishments on periodic work plans and having them reviewed by supervisory officers provide simple but effective means of keeping up with planned work progress.

The supervisor makes periodic reviews at least twice after original approval. Extensive adjustments are not made unless there has been a



significant change, subsequent to the original plan preparation, in either financing or jobs planned.

C. *Research Project Annual Plan of Work.* Each research project leader prepares an annual work plan listing, assigning, and scheduling the important research work financed for the year.

### **Assistance in Work Planning**

The need for expert functional assistance and advice grows steadily in all activities and at all levels. This need is filled in part by functional inspections and special assistance trips that further maximum job accomplishment and understanding.

Line officers often request special assistance from region, station, or Washington office when in their judgment current jobs require skills not present in their organization. Expert assistance is also scheduled to a unit when inspection or other control devices disclose the need for additional advice or special help. Such expert help is either requested by the appropriate line officer or directed by his line superior.

Region and station requests for special assistance from the Washington office are submitted to reach Washington by December 1 for the following fiscal year and referred to the appropriate division for consideration. Special assistance trips are included in the detailed Washington office field schedules.

### **Organizing**

Organizing is the process of arranging work in interdependent parts, each having a relation to the whole. It includes establishing individual positions, grouping positions into operating units, and filling the positions. The Forest Service objective is to organize the work to maintain an adequate degree of decentralized responsibility and authority; divide the work into segments small enough to assure effective resource management but large enough to provide efficiency and economy of operation; have all work done to acceptable standards of quality and quantity; distribute workloads equitably among people and units; maintain effective control of all activities by the person or persons responsible; and provide for multiple-use management. To attain this objective, the Forest Service has developed standard practices and procedures to guide the organizing process.

### **Manning**

Since work is accomplished by or under the direction of people, the assignment of duties, responsibilities, and authorities to individuals or groups becomes an important part of the organizing process. The amount and kinds of work to be done and the manner in which they are assembled determine the numbers of people needed and the qualifications they must have.

The composition and number of positions needed are governed by the needs of the work as determined by analysis. Each supervisory officer must justify the need for each position he recommends for establishment. He must also see that responsibility and authority assigned to one position are not duplicated in another unless clearly required by the needs of the work. In all cases, organization and work requirements are determined and approved before the position is classified.

Once the duties and responsibilities of a position and its place in the organization have been defined, it is established and classified in accordance with the provisions of the Classification Act of 1923, as amended, and its implementing regulations and procedures.

### **Direction**

Effective supervision is essential to successful management. A good supervisor can, and usually does, achieve adequate-to-good production even though he may not use contemporary techniques. However, modern management practices permit better performances, and the good supervisor takes full advantage of them.

The Forest Service strives to make the organization a well-informed, effective, and dynamic entity characterized by vigor of action, a spirit of cooperative teamwork, and pride of accomplishment. Under these conditions employees are happy, relaxed, and eager to further the objectives of their organization. Unfortunately, this goal is not easily achieved nor can it be reached by applying any set formula. It can be attained only when competent supervisors continuously supply their units with proper guidance, coordination, and control.

A well-supervised organization has all or most of the following characteristics:

1. Its members have a good understanding of total agency responsibilities and objectives, of each individual's place in the scheme of things, and of what he personally is expected to contribute.
2. Each organizational unit, and each member of it, has adequate delegated responsibility with commensurate authority for assigned work, together with fully understood and accepted accountability for results.
3. Group participation and teamwork are the rule rather than the exception.
4. Morale is high: employees are proud of their organization and each is willing to contribute more than his fair share so that reasonable performance objectives will be attained or exceeded.
5. Decision making is shared whenever possible by the officer delegated responsibility for the problem or action requiring attention.
6. Production is high and quality of work is good.
7. Equipment is reasonably adequate and

is maintained in first-class working condition.

8. Individuals present a neat, workmanlike appearance.

9. Work habits are orderly and effective, and include inherently safe work practices.

In his day-to-day activities, a good supervisor:

1. Treats employees as important self-respected human beings, instead of cogs in a machine. The functions of the Forest Service involve conservation endeavors of far-reaching consequences and include many difficult tasks. These can be successfully accomplished only if each member of the organization recognizes the importance of his job and knows that his supervisor appreciates the fact that it requires intelligent effort. When a secure human relationship exists between the supervisor and every member of his organization, a firm bond is established between the individual and the organization. This mutual confidence is productive and satisfying to both.

2. Encourages and assists employees to develop their natural aptitudes and improve their skills. Adequate development of the relationship discussed above permits the recognition of natural aptitudes. When these become known, assignments can be made so that they can be used productively, thus helping the individual increase his worth both to himself and to the organization. Training and other opportunities for development, including selected work assignments, are proved ways to build a strong organization and to provide a reservoir of individuals ready and willing to accept and redeem greater responsibilities.

3. Encourages group participation and teamwork in decision making, program planning, and work planning. Employees automatically identify themselves with an organization that invites them to share, or even insists that they share, in management responsibilities. This feeling of belonging invariably results in pride of organization and in increased loyalty and enthusiasm.

4. Recognizes the importance of informal organization arrangements as well as the need for an adequate formal organization structure. Formal organization is necessary to assure clear understanding of delegated responsibilities and, specifically, what each organizational unit is expected to do. Formal organization also provides for clearly understood assignments and responsibility. Informal organization permits individuals to work freely with one another so that knowledge and experience can be brought to bear on any given problem or task with the greatest possible dispatch and effectiveness. Informal relationships should be encouraged, but the individuals who use them must clearly understand how and when they may be used

and when actions must be taken or requests placed through the channels established by formal organization.

## Management Aids and Functional Supervision

The Forest Service has developed many practical management aids, and Forest Service managers have used them successfully for years. The more important management aids include:

1. Sound application of organization principles and procedures.

2. Effective work measurement; and program, work, and project planning.

3. Multiple-use resource plans and functional resource plans. Plans are also necessary for research programs and for State and private cooperative programs.

4. Adequate control procedures, both formal and informal.

5. A sound management improvement program.

6. Efficient business and accounting practices and procedures.

7. Sound personnel management, including employee development and safe work habits.

8. Proper use of committees and conferences.

9. Proper use of special details, assignments, and meetings.

10. Good internal communication.

Functional supervision usually applies most of these management aids. The officers who do functional supervising are (1) district rangers for district personnel, (2) forest supervisors and forest staff officers for the district rangers assigned to the forest, (3) research project leaders for research project personnel, and (4) experiment station directors and station division chiefs for research project leaders in the station zone of responsibility.

Functional supervision includes all functions of direction, except the full application of formal control procedures. This is so because organizational relations are relatively close and everyone concerned has a working knowledge of current program and project activity. A district ranger, for example, rides a grazing allotment, frequently with a permittee or grazing association rider, to determine (1) how well the management plan is being followed, (2) the condition of the range, (3) the condition of range improvements, and (4) other factors pertinent to proper range management. During the trip, or as a result of his observations, the ranger may make notes for needed revision of the management plan for later use, or reach agreement with the permittee(s) for current management adjustments; make notes on range conditions or on maintenance work needed on range improvements; or take significant photo-

graphs for the record. Any administrative action resulting from the trip is usually accomplished without undue delay. Items on which the ranger should act are noted for inclusion in the district work plan. Items that require the attention of the forest supervisor or range staff officer are included in a memorandum to the supervisor. Items that require the attention of the permittee or association are included in a letter to the permittee or president of the association. Thus, all items requiring action are disposed of administratively rather than recorded in an inspection report.

The same applies to a trip to a timber sale. The ranger or timber sale officer checks the sale for compliance with the sale contract. Items that need the operator's attention are taken up with him, preferably on the sale, or are set forth in a letter to him. Items for district attention are noted for the work plan or sale record. Items of interest to the supervisor are included in a memorandum. Again, all necessary action is processed by normal administrative procedures rather than noted in an inspection report. The same procedure is used for all current district program and project activity. In effect, operating plans are checked currently on the ground, and administrative action is taken to assure adequate plan execution.

When a forest supervisor or a forest staff officer makes a regularly scheduled trip to a ranger district, "hotspotting" or troubleshooting is not involved or is of minor importance. The purpose is to provide guidance and assistance to the ranger and to make sure that progress, in accordance with district operating plans, is satisfactory. The specific management areas and project jobs to be reviewed during each functional supervision trip are identified in the forest work plan. Functional supervision reminder lists—similar to, but usually more detailed than, inspection reminder lists—are useful to help insure orderly coverage of the project or function. Such lists are coded and referenced in the Handbook. As for the ranger, the items that need attention are disposed of currently. Items are (1) added to the district work plan, (2) added to the forest work plan, (3) covered in current letters or memorandums, or (4) noted for later planning action.

In a similar manner, directors and research division chiefs may use functional supervision to administer certain Laboratory and research project functions.

From the above, it is readily apparent that the ranger's job is really that of an on-the-ground manager or administrator, and that the forest supervisor's job is one of direct functional supervision. The control function is accomplished by current performance checks accompanied by remedial action rather than by the formal control procedures. The Chief, regional foresters, and station directors to some extent, must use formal control procedures, but performance checks, as an in-

herent part of functional supervision, are much more effective and less time consuming for on-the-ground managers and supervisors.

The advantages of performance checks when properly used as an integral part of functional supervision are substantial, but the greatest advantage is gained by extending this procedure to provide a basis for the preparation of operating plans. The following procedure has been used successfully on many forests in several regions; it is a good way to accomplish the total job, and can be applied in conjunction with annual work plan preparation conferences.

1. Each fall or winter the line-staff officer schedules a conference with each ranger; usually the assistant ranger, timber sale officer, or other district personnel doing administrative or technical work for the functions and activities scheduled for attention also participate.

2. Functions and activities assigned to the staff officer by the supervisor are discussed one by one. The time required to consider each activity or function varies, but may average one-half day for the heavier ones.

3. Discussion is based on progress notes, administrative memorandums, reports, and other significant data recorded as a part of normal management, and is designed to reveal clearly:

- a. What the overall status of the function under consideration is—status of plans; specific problems; public demand for products, use, or service; etc.

- b. Progress during the past year—accomplishment, cost of doing business, etc.

- c. Priority jobs for the year ahead properly related to anticipated finances.

4. The results of the discussion are recorded in a concise memorandum by the staff officer for each function. The first part of the memorandum briefly summarizes major facts and sets forth the general situation. The second part identifies jobs to be done by the district. The third part sets forth jobs to be done by the supervisor's office.

This approach takes full advantage of group participation and, when the functional memorandums are consolidated, provides an excellent basis for district and forest operating plans.

5. The procedure outlined under items 1 to 4 above leaves undone the important task of securing balance between functional activities. These must be coordinated in annual plans of work to make sure that each function or major task is receiving proper attention. The procedure is the same as outlined above, except that:

- a. The supervisor and forest staff officers meet with the ranger of the district under consideration.

- b. The functional evaluations made since the last district evaluation provide the basis for discussion and coordination evaluation. Usually 1 day will suffice, provided special

problems do not require detailed consideration.

c. The results of the discussion are summarized as function or program management guides properly focused on the problems and jobs considered.

Standards for job accomplishment and for defining the degree of supervision required for specific jobs for the National Forests are established and stated in the Manual and Handbook. In order to keep standards reasonably attainable and coordinated, they must conform to the standards in the correlated workload analysis. Each officer authorized to establish technical or other standards is required to see that they are coordinated with the correlated workload analysis.

### **Decision Making**

Decision making has always been a prime essential of organized human endeavor. Currently much attention is being devoted to decision making, particularly to the application of scientific method to problem solving. However, any line officer can master and use the essentials, for decision making is a rational, systematic process that follows a definite sequence of steps.

The procedure may not always result in the best possible answer, since judgment, too, is a factor in decision making. In addition, many decisions involve the future—relatively unpredictable at best. However, application of the procedure improves long-term management decisions, and usually results in sound decisions for current actions. Another important benefit is that it lightens the load on the decision maker.

### **Resource Management Decisions**

Decisions are made by line officers for every management problem. Long-range decisions must be made and successfully carried out to insure future generations a reasonable supply of timber products and other resources on the National Forests. Such decisions call for the best efforts of the Forest Service. The need for many of these decisions is recognized well in advance of program action. Each part must be carefully defined and analyzed; and its impact on all other parts and on related matters noted and emphasized.

### **Administrative Action Decisions**

Line officers and many staff officers must make many current decisions to successfully carry on their assigned work. Time is usually an important factor. Frequently, as in controlling a fire, the worst action is failure to act promptly.

Forest Service objectives for decision making are an important part of the procedure. They are to obtain reasonably consistent management decisions from numerous field officers operating under policy of decentralized administration for diverse

and often complex forest conservation problems and practices; and to obtain necessary management decisions made with reasonable speed by the responsible line officer.

An understanding of Forest Service policies for decision making is also necessary for proper understanding and use of the procedure. These are:

1. Management decisions are based on the guides contained in the Manual, modified by judgment and local conditions.

2. Management decisions must be made promptly so that approved programs and projects may be carried forward efficiently, rapidly, and in an orderly manner.

3. Local decisions are made locally by the responsible line officer. If the Manual together with local resource and operating plans does not provide adequate guidance for a sound decision, advice should be obtained from a higher line source, but the decision should be made by the responsible officer.

A clear definition of the problem requiring decision considers the internal parts of the problem, their relation to associated activities, and the human factors, both inside and outside the Forest Service. The following may be helpful in this step. To understand the problem, one should describe it; identify its parts; establish the relationships of the parts with one another and with associated activities; establish and clarify related management objectives; and establish the human factors associated with the problem.

A clear analysis of a problem may suggest its answer. Frequently the facts of a situation dictate its answer. However, this is not always true; when it is not, the following may be helpful:

1. List significant facts in an orderly manner.

2. List significant facts for related activities.

3. List human factors related to the problem.

4. Evaluate the facts in terms of human factors and resource management decisions, with due regard to "lead time," economic impacts both present and future, and multiple-use management coordination requirements.

Accurate evaluation of significant facts is frequently difficult. Comparing the problem with similar problems may be helpful. Advice from senior officers with broad experience may be necessary. In any event, unduly hurrying the evaluation process is undesirable; an error at this stage is usually serious.

5. Determine expectations. Analyzing resource-management decisions is seldom complete without considering what may happen in the future. Available facts relate to the present and the past. Results of the decision will be influenced by the future. Consequently, such a decision must be based to some degree on assumptions. These should be listed and

the decision scheduled for review at a specified future date to check on the validity of the basic or controlling assumptions.

When the steps outlined above present a reasonably clear picture of the problem and what needs to be done, then the following action should be taken.

1. *Determine Possible Solutions.*—Usually there are several solutions, but which of these is best? Problem solvers or decision makers are subject to prejudice, bias, and preconceived ideas. The best way to guard against these ever-present pitfalls is to carefully list all possible solutions. The risks, the pros and cons, and the chances of success should be developed and listed for each possible solution.

2. *Make Decision.*—Select the solution that will most nearly attain the desired management objective and that involves the least risk.

3. *Prepare Action Plan.*—Prepare an action plan for the decision so that the effort expended in making the decision will yield best results. Frequently the decision-making process should include those persons who must carry out the decision. In addition, control procedures will need to be established when the action plan anticipates work over a considerable period of time or by a large number of people.

### **Hazards To Be Avoided**

1. *Bad Timing.*—Many decisions are unduly delayed. Delay is usually a poor problem solver. Too often a responsible line officer postpones a decision without realizing that postponement itself is a decision, and sometimes the worst possible one. Do not decide too fast. Conditions may change and adversely affect the soundness of a decision. Determine when a decision is needed, then make it.

2. *Failure To Identify Problem.*—Frequently too much time is devoted to finding answers and too little to defining the problem. This may result in getting right answers to wrong problems.

3. *Failure To Identify Significant Facts.*—Frequently the decision maker gathers a multitude of facts—so many that he becomes thoroughly confused. Reject each fact that is not significant to the problem at hand.

4. *Action Plans for Decisions.*—Decisions, in themselves, do not result in action. Most of them require an action plan. Actually a decision is not complete until an action plan for it has been prepared; for policy decisions, a control plan is also necessary.

The procedure outlined above is a rational one for decision making. Its use results in better and faster decisions arrived at with less strain on the decision maker. It does not remove all risk from decision making: it provides for recognition of unavoidable risk. No formula or procedure, however, can replace sound judgment.

## **Management Improvement Administration**

In order to accomplish work more efficiently, economically, and effectively, a planned program for management improvement has been established in the Forest Service, coordinated with Government-wide programs for similar purposes.

The officer in charge of each organizational unit develops and applies a plan currently to:

1. Review, appraise, and improve operating methods and procedures.

2. Review and adjust organization and use of manpower to obtain maximum benefit to the Service and to develop each employee's full potential.

3. Study and improve the use of equipment, supplies, and materials.

Each such officer adopts improvements within his authority and reports the improvement to his superior for possible adoption elsewhere. When not authorized to make the change, he reports his findings and recommendations to his superior.

### **Administrative Studies**

It is the policy of the Service to encourage administrative studies wherever they can properly be used to improve materials, equipment, and procedures without causing undue drain on the time of administrative personnel. Forest officers who show special aptitudes for such work are often permitted to participate as much as is practicable.

Before approving an administrative study, forest officers make sure it (1) is worth while, (2) does not duplicate an existing project or available information, (3) is assigned to competent personnel, and (4) has adequate financing to complete the job.

Administrative studies are not permitted to invade the fields of fundamental research assigned to the experiment station or to the Agricultural Research Service. To avoid conflicts, the administrative studies programs of each region are coordinated with the programs of the local station and other regions currently. Once each year, regional foresters and directors review the more important proposed and operating studies within the region to (1) appraise the value of each project to the integrated regional program, (2) decide on ending existing projects or starting new ones, (3) determine what technical help or advice will be needed from Research, and (4) decide who will direct and finance the work where joint studies are involved. Forest Service studies are also carefully coordinated with the study programs of other Federal agencies, State organizations, industries, and others to prevent duplication of efforts and to share useful information.

### **Employee Suggestion Program**

All employees are encouraged to participate in the common task of improving the efficiency, econ-

omy, and effectiveness of Government and Forest Service operations by developing and submitting their ideas for improvement.

Usable suggestions are adopted at the first organizational level having the necessary authority. Suggestions which cannot be adopted because of lack of authority are transmitted with recommendations to higher units until accepted or rejected by an officer authorized to take such action.

### **Incentive Awards Program**

The incentive awards program established under authority of law and regulation provides a means of recognizing employee participation and achievement in working toward greater operating efficiency and economy. Participation may involve suggestions, inventions, superior accomplishments, and other personal efforts. Citations, cash awards, honor awards, or combinations of these are the forms of recognition.

Each supervisory officer is responsible for recognizing performance that may merit an award and for making appropriate recommendations or making awards if it is within his authority.

Program leadership and coordination are achieved by awards committees established by the Chief, regional foresters, and experiment station directors to advise and assist them in administering the program.

### **Patents**

Employees occasionally make inventions which are patentable. Unless these inventions are recognized early and are properly protected, they may be patented by private parties to the great disadvantage of the public and the inventor. The policy of the Service is to encourage early recognition of such inventions and to take prompt action to protect the interests of the public and the inventors.

### **Committee and Conference Management (Advisory and Administrative)**

Committees composed of persons other than Forest Service members are often established to advise the Service on broad aspects of policies or programs of research; cooperation with State and private forestry agencies; and management of National Forests. Advisory committees provide a forum for discussing policy matters which may be raised by either the Forest Service or the committees. The committees help the Service gauge the impact of its programs on forest owners and users and thereby improve its service to them, as well as to the public at large. They also help the public to view, in proper perspective, Forest Service activities as they affect all groups of owners and users, and the general public.

The functions of these advisory committees are solely advisory, and any determination of action to be taken, based in whole or in part of such advice, is made solely by the proper Forest Service official or officials.

The Executive Office of the President has directed each Department to establish a committee-management program to insure the best possible utilization of the various committees at the disposal of the Government. To meet this directive within the Department of Agriculture, the Secretary has designated a Department committee-management officer. At the same time, the Secretary has directed each agency to include committee management in its program, and designate an agency committee-management officer.

The committee-management program applies to any committee whose membership includes Service employees, as well as to advisory committees.

The Forest Service utilizes committees, as needed, in accordance with the Department's committee-management regulations to facilitate its programs.

## Chapter 5

# Controls

The Forest Service carries out its mission through the work performed by its employees in the organizational units. To assure that these organizational units work together toward a common goal and that requirements of law, regulation, policy, and procedure are followed, control measures are established. This chapter deals with policies, standards, and instructions for such control measures.

Basically, the control measures needed in such a decentralized organization include assignment of program and work responsibilities; delegation of authorities commensurate with these responsibilities; and a system of checking to determine whether responsibilities are met within the authority delegated.

These basic controls are used to regulate and measure functional and administrative performances. They include responsibilities, standards, authorizations, and limitations; records and reports; audits and inspections; administrative reviews and investigations. The Manual and Handbook are the basic control documents. Administrative reviews and investigations are used only in cases of such character or magnitude as to warrant this action by the unit administrator or by higher authority.

External controls are those established and exercised by higher authority outside the Forest Service, including other authorized Federal agencies. Internal controls are those established and exercised within the organization.

Congress has vested authority in the Secretary of Agriculture with regard to the functions of the Department of Agriculture. In turn, the Secretary of Agriculture has assigned certain functions to the Forest Service and has delegated authority to its Chief to discharge these functions.

Certain staff agencies of Government, such as the Civil Service Commission, General Services Administration, and the Bureau of the Budget have established external controls on the departments within their authorized functional responsibilities.

The Forest Service establishes such internal controls as are necessary to insure the efficient fulfillment of assigned responsibilities at all organization levels. It likewise conforms to such control measures as the Department may require either on its own initiative or as a result of the functional responsibilities of other staff agencies.

### Internal Audit

Internal audit is an independent appraisal activity within the Forest Service for determining the propriety, legality, and effectiveness of the functions of management. It is a basic management control which functions primarily by measuring and evaluating the adequacy and effectiveness of other internal controls.

Section 113 of the Budget and Accounting Procedures Act of 1950 prescribes that:

. . . the head of each executive agency shall establish and maintain systems of accounting and internal controls designed to provide (3) effective control over and accountability for all funds, property, and other assets for which the agency is responsible, including appropriate internal audit.

The Department prescribes the establishment and maintenance of an internal audit program in each agency. The regulation specifies that the scope of internal audit work will include:

1. Reviewing and appraising policies, plans, procedures, and records of the agency.
2. Ascertaining degree of compliance with regulations, policies, plans, and procedures.
3. Appraising performance under established policies, plans, and procedures.
4. Reviewing the reliability and usefulness of accounting, financial, and statistical data developed within the agency.
5. Ascertaining whether the agency's assets are properly accounted for and adequately safeguarded from losses.

Within the framework of Department policy, the Forest Service maintains an internal audit system to appraise on a continuing basis the legality, effectiveness, efficiency, and economy of all programs and activities, and to direct management's attention to areas of work where improvement is needed.

The objective of internal audit is to assist management in the proper fulfillment of assigned responsibilities. Internal audit, therefore, must be concerned with any phase of Forest Service activity wherein it can be of service to management.

### Organization and Administration

As shown in the organization chart, Internal Audit is an independent staff arm; the Director reports directly to the Chief. This insures objectivity in auditing and reporting.

Internal Audit is organized on a servicewide basis with field and Washington office auditors responsible to the Director of Internal Audit. In order to achieve balance and objectivity, auditors are recruited from both inside and outside the organization. They represent a wide variety of background and experience, including resource management, administration, program specialization, research, State and private forestry, accounting, and auditing.

The following are the Internal Audit offices and the territory for which each is responsible:

- Central staff, Washington— All regions, stations, and segments of the Washington office.
- Western office, Portland— National forests in Regions 1, 5, 6, and 10.
- Rocky Mountain office, National forests in Regions Denver. 2, 3, and 4.
- Eastern office, Washington— National forests in Regions 7, 8, and 9.

NOTE: Internal Audit field offices may also audit selected research centers, laboratories, or other installations.

Internal Audit has no operational or program responsibilities in the Forest Service organization. It is a staff rather than a line function. In performing this staff function, the auditor has no authority to make, or to give orders to make, changes in procedures or operations. Neither does he prescribe new organization, methods, or procedures since this would lead to bias in subsequent audits. Experience and continuing review of comparable problems on many units, however, provide an opportunity to bring to management's attention suggestions for improving operations.

Establishment of the Internal Audit staff in no way affects the basic chain of command, line-staff relationships, or other phases of organization in the Service. It does not replace any operating responsibilities nor does it eliminate or reduce the need for other inspections to make sure assigned responsibilities are being met.

Internal audits of regions and stations are normally made by a team representing resource and business management background and experience. Similarly, forest audits generally are made by a team of two field auditors, one with resource management and the other with business management background. From time to time, staff specialists and others in the Washington office, regional offices, or stations are requested, through regular channels, to assist in a particular phase of an audit.

### ***Scope of the Audit***

The auditor does not attempt to evaluate program direction and emphasis or the technical aspects of Forest Service programs; neither does he appraise the technical skills and competence of foresters, engineers, accountants, or other profes-

sionals. Rather, he is concerned primarily with the controls applicable to programs, activities, or operations.

Through sampling he determines whether controls are prescribed and established where needed; the established controls are adequate; and the established controls are being complied with. Application of these criteria to major controls in Forest Service operations establishes whether:

1. Objectives and policies under the proper laws or other basic authorities have been clearly defined and communicated to all concerned.
2. Objectives and policies are implemented by specific and adequate procedures.
3. Procedures are followed as intended.
4. Accounting, statistical, and other vital data are accumulated at such intervals and in such manner as to best service management's needs.
5. Inspection reports, financial statements, operating plans, progress memorandums, and similar basic management tools are supplied key officials at prescribed intervals and in scope that best serves their needs.

Since the foregoing can be achieved only if sound organization principles are observed, the auditor also determines whether the following controls are in effect and functioning:

1. Organization charts and tables clearly define relationships between segments of the unit (regional office, experiment station, national forest).
2. Authority and responsibility of line and staff positions are clearly set forth. Delegations (and limitations) are clear.
3. Assignment and flow of work produce desired results and efficiency.
4. Each employee knows his place in the organization and exactly what authorities and responsibilities have been assigned to him.
5. Through proper training and supervision each employee knows the scope, details, and limitations of work for which he is responsible, as well as its relationship to tasks performed by others.
6. Each employee understands the objectives and policies of the Department and the Forest Service in a degree commensurate with his position; also, he understands clearly not only his prerogatives under law and regulation, but also his responsibilities for conducting himself with a high degree of integrity, morality, and honesty so as to bring credit to himself and the organization.

### ***Relation of Internal Audit to General Integrating Inspection***

The function of Internal Audit is to determine whether operations are carried out in an economical and effective manner. Thus, Internal Audit attempts to appraise for management how pro-



grams are being carried out. This is achieved through a continuing review of procedures, systems of internal control, and care and protection of assets, as well as a determination of extent of compliance with laws, regulations, and other directives.

The function of the general integrating inspection is to evaluate periodically the progress and quality of program accomplishment in all phases of activities. The general integrating inspection determines: (1) adequacy of resource programs in terms of proper application of scientific knowledge, balance, integration, and need; (2) the degree to which the administration and protection of natural resources, in terms of production and development, have been properly responsive to the public interest; and (3) effectiveness of program emphasis and direction in relation to the total job to be done.

### ***Relation of Internal Audit to General Functional Inspection***

Integrity of legal, fiscal, and contractual matters and the application of sound principles in the handling of funds, property, and other assets are necessary ingredients in all Forest Service activities. Some duplication of coverage may occur between inspection and audit of these matters. However, a clear distinction exists between the objectives and the details of examination in audits and inspections. The purpose of functional inspection is to determine for respective line officers whether the operation is conducted in the manner prescribed by applicable laws, regulations, and policies. Functional inspection, therefore, covers in considerable detail all the elements of the activity or function concerned. Audit, on the other hand, is concerned principally with the control aspects of the activity. If functional inspections adequately cover them, only the significant items, indicators, or trends will concern the auditor. In some cases, this will involve a sampling of material reviewed and reported by the inspector. In other cases, the inspector's report will serve the auditor's need. Only under unusual circumstances would it be necessary for the auditor to review in detail the same cases or transactions analyzed and reported by the inspector.

In addition to providing information on the adequacy of program controls, the use of functional inspection data by the auditor represents a check on the control features of the inspection system. To the extent that functional coverage is adequate, the intensity of audit sampling may be reduced accordingly. In other words, the more thorough the functional inspection, the less intensive the audit coverage needs to be.

### ***Conduct of Audits***

Audit of each National Forest normally includes a broader scope of activities than does the audit of each region or station. Owing to variation in size and complexity of operations, however, the scope

and intensity of review varies considerably from unit to unit.

Limited-type audits, generally more intensive, may be instituted by the Chief, upon request from a regional forester or director, to meet special situations.

A valuable service performed by Internal Audit is in the fields of work improvement and directives management. In the latter category the constant use of manuals, handbooks, and other directives by internal auditors affords an excellent opportunity to bring to management's attention instances of unclear language, conflicting instructions, or insufficient guidance.

### ***Frequency and Scheduling***

Regions, forests, and comparable units are usually audited at 2-year intervals unless individual circumstances warrant greater or lesser frequency. Experiment stations are generally audited at 3-year intervals, although this may be varied with needs. A sampling of field project locations is normally included in audits of experiment stations, although individual audits of selected research units may be scheduled if circumstances warrant. Similarly, audits of National Forests include sampling of ranger districts.

In planning and scheduling audits, every effort is made to reduce impact on audited units through coordination with other Forest Service inspections, GAO audits, and similar review. Unforeseen schedule changes are made known to the auditee as soon as the change is firm.

### ***Unit Audit Reports and Followup***

1. *Report Characteristics.*—Audit reports generally follow the principle of "exception reporting." The value of this approach is well recognized as a timesaver to all concerned, since it focuses attention on those activities and operations in need of strengthening or correction. While work satisfactorily conducted is not normally included, outstanding performance is recognized in the reports.

Because of the breadth of the Internal Audit program and the operating experience of staff members, situations outside the scope of audit are frequently encountered or observed and are brought to management's attention. Items in this category are handled by personal discussion, memorandum, or in the letter of transmittal which accompanies the audit report, depending on the nature and gravity of the problem.

2. *Report Format.*—In view of the "exception reporting" characteristics of internal audit reports, they normally contain:

- a. The auditor's findings and their significance.
- b. Nature and extent of departure from established procedure.
- c. Conclusions.
- d. Recommendations.

3. *Audits of Regions and Stations.*—The final phase of an audit of a region or station is a review of the auditors' findings with the regional forester or station director and designated members of his staff. Any unresolved differences are noted and the final audit report includes the views of the regional forester or station director on unresolved major points.

Copies of the final report are generally sent to the Chief within 90 days after the audit is completed, as well as to respective assistant chiefs and division directors. The Chief forwards the report to the regional forester or station director, together with such covering letter as he deems appropriate.

4. *Audits of Field Units.*—Audit reports of forests, laboratories, or other segments of region or station operations by field auditors are reviewed with the line officer in charge of the audited unit or his designated representative before the auditors leave. Any unresolved differences are noted. Following the review and any subsequent discussions, the report in draft form, together with comments or explanatory statements, is forwarded by the field auditor in charge to the Director of Internal Audit. This procedure provides for coordination of audits as well as for training and development of field auditors.

Since the field unit audit is primarily a service to the supervisor and regional forester, or their counterparts in Research, the report is normally not reviewed by Washington office divisions as in the case of region or station audits. In the course of his review, the Director of Internal Audit refers to other units in the Washington office only those items in the report which may raise questions as to interpretation of laws or regulations, compliance with servicewide policy and procedure, serious situations, or similar matters requiring clarification. The field auditor in charge then prepares the report in final form, including the views of the line officer responsible for the audited unit. The final report is transmitted directly from the auditor in charge of the field office to the regional forester or station director concerned for such action as he deems appropriate.

Field audit reports are usually transmitted to the regional forester or station director within 60 days after fieldwork is completed.

5. *Followup Action.*—Once the audit report is submitted to the responsible line officer (Chief, regional forester, or station director), it is management's responsibility to take appropriate action with regard to the audit findings and recommendations.

During subsequent audits, the auditors evaluate the extent of compliance with previous recommendations or modifications which may have been decided upon by the responsible line officer.

#### A. *Audits by Central Staff of Internal Audit.*

The Assistant Chief for Administration is responsible for followup action relative to audit

reports prepared by the central staff of Internal Audit. This includes coordination of action among the Washington office divisions and preparation of the letter of transmittal to the audited unit.

Copies of the Chief's letter transmitting the report to the regional forester or station director are furnished the Director of Internal Audit.

B. *Audits by Field Offices of Internal Audit.* Each regional forester assigns to a member of his staff primary responsibility for followup action on forest audits made by members of the Internal Audit field offices. To the extent that individual audits are scheduled for field research locations or laboratories, the station director follows the same procedure.

## Monthly and Annual Reports

1. *Monthly Report.*—In accordance with established directives, a report summarizing significant audit findings is submitted to the Office of the Secretary by the 15th of each month.

2. *Annual Report.*—Annually, by March 15, the Director of Internal Audit submits to the Chief a report of major findings and trends revealed by audits of the previous year.

Similarly, the auditor in charge of each field office submits a report on major findings and trends by March 15 to the respective regional foresters. If several laboratories or comparable research units within the area of responsibility of a single station director are audited by a field office, a similar annual report is furnished him.

## Inspections

The Chief is responsible to the Secretary of Agriculture for all official actions of every employee in the Forest Service. He cannot relinquish that responsibility. He does, however, hold the regional foresters and experiment station and Forest Products Laboratory directors responsible to him for all official actions of employees under their jurisdiction. He delegates authority to these line officers to enable them to perform effectively the work for which he is holding them responsible. The same principles are followed at each organizational level.

Under this decentralized pattern of organization, it is essential to maintain a system of controls to determine for each line officer if, and to what extent, delegated authorities are exercised and assigned responsibilities redeemed. Inspection is one of the necessary management controls for accomplishing that purpose. At ranger district and project levels, working relationships are very close and informal, and periodic checking of work is done as a part of the day-to-day job, merging with the task of direct supervision. The need for formalized inspection and documentation of performance increases at higher levels of organization.

The Organic Administration Act of June 4, 1897, as amended, provides for the use of controls which are needed to insure proper administration and protection of the National Forests. Certain other major acts under which the Forest Service functions provide for the establishment and use of administrative controls necessary in the accomplishment of the objectives and purposes of the respective acts.

Agencies of the Department are required to establish systems of inspection and other controls designed to meet the needs of the respective agency. The policy of the Forest Service is to conduct periodic inspections to assure proper administrative control of functions, operations, and programs. Inspection objectives, standards, frequencies, and procedures are in harmony with the law, regulations, and Department policies which govern the work of the Service.

Inspection is a major management control which examines the work performed by people. This includes studies, reviews, and appraisals to determine (1) the adequacy of established policies, procedures, plans, standards, regulations, and laws; (2) the adequacy of compliance with them; (3) whether resources and other assets are properly safeguarded; (4) the degree of reliability of accounting and statistical data; (5) where recognition for good work is deserved; (6) ways and means of strengthening the services of people concerned; (7) followup action necessary to bring about needed corrections or other desired accomplishments.

The primary objectives of inspection are to:

1. Determine how effectively the Forest Service is fulfilling its responsibilities to the public for National Forest administration, State and private forest cooperation, and research activities.

2. Appraise performances in administration under laws, regulations, policies, standards, and procedures governing Forest Service activities aimed toward optimum protection, development, and utilization of forest resources.

3. Measure leadership performance in the unit being inspected and leadership in the next higher echelon.

4. Reveal better ways of accomplishing work at the inspectee's level and assist in putting these into effect.

5. Recognize inspectee's strong points, identify his training needs and weaknesses, and make suggestions for providing the needed training and development.

6. Appraise internal and external cooperative relationships.

7. Evaluate current performance in the light of available manpower, money, and equipment.

8. Identify unsafe practices and determine improvements needed in connection with safety and general welfare of Forest Service personnel.

9. Provide opportunities to judge employee moral, discover examples of outstanding performance, and learn how employees are responding to leadership.

10. Provide opportunity for on-the-ground review and discussion of work problems.

The secondary objectives of inspection are to:

1. Train inspectors and inspectees in the techniques of offering and receiving constructive criticism.

2. Provide opportunities for inspecting officials to obtain knowledge concerning viewpoints of local forest officers, users, and the general public; also knowledge of areas, resources, accomplishments, problems, and trends in the inspected unit.

3. Encourage field officers to contribute to inspection findings.

4. Observe worthy work improvements and encourage submission of written suggestions thereon.

## Kinds of Inspection

### *General Integrating Inspection*

This type of inspection consists of field and office studies and checks to determine the overall effectiveness of all Forest Service activities within a given territorial unit.

The primary purpose of general integrating inspection is to examine and evaluate, for the head of the inspector unit, the effectiveness of existing management and operating plans, objectives, policies, and procedures; to determine how well responsibilities assigned to or shared by both the inspector and inspectee units are being carried out; and to determine how well National Forest resources are contributing to the social and economic needs of the community and Nation.

### *General Research Inspection*

This kind of inspection consists of office and field checks to determine the effectiveness of Forest Service research activities within a given territorial unit. It is conducted only from the Washington office.

The primary purpose of general research inspection is to examine and evaluate at the several experiment stations and the Forest Products Laboratory, for the Assistant Chief in charge of Research, the adequacy of the research organizations; the scope and adequacy of technical programs; the adequacy of coordination among the research organization divisions; the adequacy of coordination among the several stations; and the overall activities at each station, including cooperative programs and special problems.

## General Functional Inspection

This kind of inspection is made by or for a responsible line-staff officer, and covers all the functions, subfunctions, and special activities assigned to him. Functional inspection involves more intensive sampling and detail than does general integrating inspection. It provides a check on the effectiveness with which all phases of the assigned responsibilities are conducted within an organizational unit.

## Limited Functional Inspection

This kind of inspection provides a check on the effectiveness with which one or more, but not all, phases of the assigned responsibilities are conducted within an organizational unit. Limited functional inspections are usually made by specialists and cover job performance in relation to approved policies, plans, and instructions.

## Inspection of Federal-State and -County Cooperative Programs

Federal-State and -county cooperative programs, such as forest protection and management, are included as part of general integrating and functional inspection from the Washington level.

## Supplemental Inspection

### Functional Supervision

This type of administrative action does not constitute formal inspection. It is briefly described here to show its relationship to inspection.

The primary purpose of functional supervision is to provide the technical and administrative guidance necessary to attain satisfactory performance and progress at work project, ranger district, and laboratory operating levels. Qualified functional staff personnel and division chiefs provide this kind of supervision on a flexible schedule, depending on individual unit and personnel needs. Formal memorandums are not required except as may be necessary to record important matters for the information of the responsible line officer or for followup action.

### Condition Survey

This kind of inspection is a complete factual and technical check of actual conditions against prescribed plans, specifications, and standards for projects such as bridges, buildings, and telephone lines.

### Self-Inspection

All units are encouraged to promote the fullest possible use of this technique. It is particularly advantageous for such employees as lookouts and firemen. It is also a worthwhile technique to use in developing employees in new assignments.

## Inspection Responsibility

Responsibility for directing the conduct of inspections, in terms of the line officer by or for whom made, is indicated below for each of the several kinds and levels of inspection.

<i>Kind and level of inspection</i>	<i>Officer responsible</i>
General integrating—	
By Washington office....	Chief.
By region.....	Regional forester.
By experiment station....	Director.
By National Forest.....	Forest supervisor.
General research—	
By Washington office....	Assistant Chief in Charge of Research.
General functional—	
By Washington office....	Responsible staff officer.
By region.....	Responsible staff officer.
By experiment station....	Responsible staff officer.
By National Forest.....	Responsible staff officer.
Limited functional—	same as above for general functional.

All inspectors report their observations and recommendations, on other aspects of the work than those under review, whenever they feel qualified to offer constructive comment. Items of importance to management frequently come to the inspector's attention in the course of his examination of operations, documents, records, etc. Experience has shown that in this manner leads develop that might not otherwise have been brought to light. In line with Forest Service policy, each inspector is expected to give management the benefit of his observations in these areas.

The line officer of the inspected unit is responsible for taking followup action on all report recommendations in accordance with decisions delineated in the report letter of transmittal. Later inspection includes checking to determine if followup action was taken, its adequacy, and status at the time of such inspection.

## Organization and Assignments of Inspections

Fundamentally, the job of making inspections is a staff function, and inspectors normally serve in a staff capacity while executing the work. The selection of inspectors is important and is done with care. Their behavior and the results of their efforts have significant influences upon Forest Service accomplishments and upon the careers of its employees. The demands on them are many and complex. The higher the level of inspection, the more complicated and difficult the job.

### Frequency

Servicewide standards of inspection frequency have been established for general integrating, general research, and general functional inspections. These standards are listed in the following table.

## Inspection Frequency <sup>1</sup>

Kind of inspection	By Chief's office			By regional office			By forest	By station
	Of both regions and stations	Of regions only	Of stations and FPL only	Of National Forests	Of States	Of stations	Of ranger districts	Of research centers
General integrating	5			4			3	
General research			5					
General functional		4	4	4	2	2 3	3 2	4 3
Limited functional			Frequency determined by current need					

<sup>1</sup> Frequency requirements (in years) for recurring administrative inspections of each unit at all organizational levels. Intervals between inspections of a given unit will not exceed the number of years shown. Additional inspections may be made when necessary.

<sup>2</sup> Refers only to fiscal inspections to be made of all stations; also to personnel management inspections at stations without division of station management.

<sup>3</sup> Refers only to business management inspections made

by administrative assistant or chief clerk. Frequent checking of other functional work on ranger districts by forest supervisor and staff officers combines with functional supervision and training to make unnecessary the regular scheduling of general functional inspections.

<sup>4</sup> Refers only to station management inspection. Functional inspections of research activities at centers and laboratories are replaced by functional supervision.

### Sampling Intensities and Locations

These vary greatly depending on the kind and level of inspection, the scope of the activity being inspected, workload of the unit, and the number of special problems that need appraisal. In principle, the degree of sampling is limited to, but not less than, an intensity which provides the inspector with sufficient facts from which to draw sound conclusions and make factual recommendations:

*A. Variations in Types of Activity and Methods of Operation.* The east- and west-side forests of Regions 1 and 6, for instance, with their wide variation in timber types and methods of operation and in range types and management requirements, must be sampled accordingly. Chief's office integrating and general functional inspections in these regions would include both east- and west-side forests in their inspection sampling. In Region 9, sampling would include both north and south forests because of the wide variations of types, methods, etc., between the two major portions of the region.

*B. Volume of Business.* Inspectors should select units of variable workloads, including both heavy and light loads. For example, a good cross section of fire management could best be obtained by checking action on small and large fires on both light and heavy fire-load units. General functional inspection of timber management would include both large and small sales on light as well as heavy timber-sale-load units.

*C. Problems.* An inspector, in preparing for his inspection, obtains a list of specific problems with which the inspectee unit is confronted. While it is good business to thoroughly review problems about which the inspector has learned in advance, he must avoid directing the inspection too heavily to these problem areas. To do so will result in an unsatisfactory cross-section

examination into operations of all activities to be inspected. Enough time should be allowed to complete the inspection, plus additional time for assistance in particular problems in which the inspectee wishes the inspector to participate.

*D. Personnel Orientation and Training.* These matters often have a bearing on the units selected for inspection. More time may be spent on a unit and more activities examined in greater detail than needed to form the basis for inspection when purposes of the trip include orientation, training, etc. As in the case of problems cited above, the duration of the trip should be sufficient to accomplish the total planned inspection job and allow additional time for orientation, training, etc.

*E. Sampling Plan Modification.* Modifying the intensity of sampling from that previously planned may prove to be good business. For instance, a general functional inspector from the Washington office may schedule an evaluation of timber management plans on 50 percent of the ranger districts to be visited. However, he may find as he travels from forest to forest that these plans meet prescribed standards. As this develops the intensity of sampling may be reduced accordingly. On the other hand, it could become necessary to increase sampling of such plans if indications point to generally unsatisfactory plan development.

*F. Sampling Locations.* Stops at other locations than those specifically set up for sampling may be desirable provided the basic sampling plan is not violated. It affords opportunity to become acquainted with personnel and general business of additional units, and may reveal information resulting in a change in the intensity and method of sampling to assure obtaining a better cross section of work being inspected.

*G. Sampling Time.* The inspector should provide sufficient time for checking thoroughly the

work involved in each sample. Otherwise the result may be opinions and impressions rather than well-based constructive recommendations.

H. *Sampling Intensity*. Intensity of sampling should be sufficient to assure that ample coverage is given to each phase of the activity inspected. The degree of sampling varies with the type of inspection and the level from which conducted. As a general principle, the higher the organization level of inspection, the broader the interest and the smaller the number of samples on any given unit.

For example, a general integrating inspection of a ranger district by a supervisor may involve sampling 20-40 percent of the appropriate business units (timber sales, range allotments, fire guards, etc.), while a regional office general integrating inspection of a forest may involve about four ranger districts of varying size and workloads, with not over 10-20 percent sampling of business units of each district. A Washington office general integrating inspection of a region may involve 4-6 well-distributed forests with only sufficient sampling into a few business units to obtain facts on which to judge high-level managerial activities. A similar philosophy with regard to sampling is applicable to general functional inspections.

The final schedule is usually a compromise between number of units, areas, or activities an inspector would like to sample, and the number he can reasonably cover in the time allowed for the inspection.

### ***Long-Term Control***

To facilitate orderly and accurate scheduling, the Washington office, and each region, experiment station, and forest maintains a master, long-term record of all types of inspections, including internal audit, showing those completed and those planned. Such a record shows by years, for each kind of inspection and each function or combination of functions, when the last inspection was made and when the next one is planned. A period of 3 to 5 years in the past and a comparable period for the future are used, depending on frequency standards for the unit involved. For clarity and brevity, the record is kept in tabular form with the names and the years, past and future, arranged horizontally by columns. Copies of the plan are sent annually to field units and administrative offices.

An inspection-report library or master file is maintained by the Washington office, and each regional office, experiment station, and forest office. Detached research units and ranger districts are encouraged to maintain similar files.

## Chapter 6

# External Relations

The Forest Service does not function by itself. At national and local levels, it has both formal and informal working relations with others. These working relations with others comprise its external relations.

Through authorized channels, the Forest Service works with Congress in legislative matters. In many activities it works with other Federal agencies and establishments, and with States and local governmental organizations. In addition, the Service has working relationships of many kinds with nongovernmental groups such as business firms, trade associations, and civic groups.

Some of the working relationships are a result of laws; some follow from executive orders, Department regulations, or contracts and cooperative agreements. In other cases, the working relationships develop from a mutual interest in related fields of activity. These external working relations should not be confused with responsibilities in the fields of information services.

The objective of the Forest Service is to conduct its external relations with businesslike efficiency, observing propriety in all situations, and conforming with policy instructions. Field offices have authority to deal with and correspond with field officers of other Federal agencies. No report need be made of such contacts unless the subject involves Service policy or matters beyond the scope of local complete authority and action.

### Policy on Legislative Activities

As the Nation's leading forestry organization, the Service is expected to be aware of State and Federal legislative needs for implementing forest resource protection and management in the public interest. Forest officers in line positions share this responsibility for their respective administrative units. The policy is that all forest officers, and particularly line officers, keep informed on legislative matters.

No office, including the Chief's office, is permitted to express approval, disapproval, or policy views on a legislative matter prior to the formulation of an official Department position. The Department in turn does not take a position until its position has been reviewed and concurred in by the Bureau of the Budget. In any organization the size of the Department, or the Forest Service, there are differences in viewpoint on policy. If each

individual office were free to express its own views independently of the official views of the Department, the result obviously would be confusion, contradiction, and lack of teamwork.

### Congressional Relations

Congressional bills may be drafted in the offices of the Legislative Council of the Senate or House; by professional staffs of the various congressional committees; by executive agencies and departments; or occasionally by individual citizens, trade associations, and other groups for consideration and possible sponsorship by Members of Congress.

The Forest Service drafts bills only when requested to do so by a Member of Congress; or when the Department initiates proposed legislation or amendments to existing legislation through official channels for the consideration of Congress. Drafting of proposed legislation is a function of the Washington office only.

During each session of Congress there are normally several hundred bills under consideration which would directly affect the Forest Service. Primary responsibility for initiating and correlating action on legislative matters is assigned to the Assistant Chief, Program Planning and Legislation. Also, he is permanently assigned "Acting Chief" responsibility for approving legislative actions. Each division director, however, shares responsibility for legislative matters in his particular field. The division directors assist in obtaining needed information and data in connection with actions and recommendations on legislative matters. They advise their respective Assistant Chiefs and the Assistant Chief, Program Planning and Legislation, of any significant information coming to them affecting or having a bearing upon legislative matters. Accordingly, as these matters arise, they are referred to the division directors concerned for review and suggestions regarding specific action needed.

Personnel are promptly informed of action taken by Congress and other significant developments on legislative matters of interest to the Forest Service. The Division of Legislative Reporting and Liaison is responsible for providing information on such matters to regional foresters and station directors, as well as to division directors and the Division of Information and Education in the Washington office.

## **Relations With Independent Offices and Establishments**

Some independent offices and establishments carrying on activities which directly or indirectly affect the Forest Service are the Federal Communications Commission, Federal Power Commission, General Services Administration, Tennessee Valley Authority, Civil Service Commission, and Office of Emergency Planning.

Important interdepartmental relations of various kinds are carried on with several bureaus in the Departments of Interior; Commerce; Defense; Justice; Health; Education and Welfare; Treasury; State; and Labor. Also, there are cooperative activities with the Post Office Department.

There are several bureaus in the Department of Agriculture that have interests in the forestry and conservation field. These include the Agricultural Stabilization and Conservation Service, Soil Conservation Service, Agricultural Research Service, and Federal Extension Service. The aforementioned are involved to the greatest extent, but there are others involved to a lesser degree.

### **Appeals From Administrative Action**

Regulation A-10 prescribes the procedure when appeals are filed from an administrative action or decision of an officer of the Forest Service. An action or decision as construed under this regulation is an action taken under duly delegated authority by a district ranger, forest supervisor, regional forester or Chief of the Forest Service, or by occupants of equivalent positions in research administration. In certain circumstances project sale officers or other types of project officers may have been delegated line authority equivalent to the authority delegated to a district ranger for administration of specified timber sale contracts or other project areas. An appeal can be taken from the administrative action or decision of such project officers. Appeals from decisions of the Chief are transmitted for consideration by the Secretary of Agriculture.

### **Cooperative Relations**

Cooperation as used here means outside, material aid or assistance with an identifiable monetary value, in accomplishing an authorized activity of the Forest Service. It may further be defined as constituting joint undertaking by the Service with public and private organizations or individuals. Both parties take part in the project and are interested in the aims and benefits even though there may be a difference in the scope of that interest. Cooperators furnish assistance through funds to be used by the Forest Service on the undertaking; supplies, materials, or equipment furnished in kind; services of employees of the cooperator; use

of laboratory, office, lands, equipment or other facilities; the actual prosecution of the work by the cooperator. The Forest Service may advance funds to or reimburse the cooperator for its share of the cost.

The Service cooperates with and seeks the cooperation of non-Federal agencies, concerns and individuals when it is in the public interest, administratively desirable, and currently authorized by law, directly or by implication. It likewise cooperates with other Federal agencies to the extent permitted by law, regulations, and administrative policies.

An important type of cooperative work is the voluntary contribution by public bodies or private concerns or individuals of funds, material, labor, etc., to Forest Service programs in which the contributors are interested. Such programs include roads and trails, educational efforts, motion pictures, recreation areas, range improvements, and forest research. Forest officers work with local organizations and individuals with a view to encouraging this type of cooperation.

When cooperators perform work they may want to develop features of particular importance to themselves, some of which may be outside of Forest Service programs. When engaged in cooperatively, the activities of both parties complement each other to avoid duplication and to achieve clarification of responsibilities, pooling of resources, improvement of program operations, and greater usefulness of the combined program.

Another type of work often referred to as cooperation is, in fact, a service. Some laws authorize the performance of work for users of the National Forests or for owners of land in the vicinity of National Forests, or for others, at their expense, when it is in the public interest to do so. It is the policy to request owners, users, or others to perform such work or contract for it outside the Forest Service when (1) such services are available and (2) it is not essential that performance be so closely coordinated with similar National Forest work that it would be in the public interest to have the work done by the Forest Service.

Accepted cooperation may be in the form of assistance or funds. Cooperative funds are deposited with the U.S. Treasury, take on the same characteristics, and are generally subject to the laws which apply to appropriated funds unless otherwise specified in the agreement.

### **Protection of Life and Property**

As a land-managing agency of the Federal Government, the Service has certain responsibilities in conjunction with the emergency protection of life and property within the National Forests.

Primarily, the protection of life and property, and the maintenance of law and order within the territorial jurisdiction of any State, are responsibilities of State and local authorities. Inside and outside the National Forests, as a humanitarian



measure, the use of Service personnel and equipment is authorized for the purpose of protecting life and property and for relieving suffering and distress arising from such causes as floods, earth-

quakes, fires, and snowstorms. Inside National Forest boundaries the Forest Service has specific authority to give emergency assistance to persons lost or seriously ill or injured.

## Chapter 7

# Information Services

Forestry in the Department of Agriculture started primarily as a research and information activity when, in 1876, Congress authorized the appointment of a special agent to investigate and report on the forest situation in the United States. During the subsequent quarter century, the forestry movement was mostly a public information and education program. As interest in conservation grew, informational and educational activities became increasingly important functions of the Forest Service. Success of the Forest Service program today depends not only on doing a worthy job of resource management and research, but also on keeping the people informed about Service activities and on maintaining good relations with the public.

The Organic Act establishing the Department of Agriculture states that "there shall be at the seat of Government a Department of Agriculture, the general design and duties of which shall be to diffuse among the people of the United States useful information on subjects connected with agriculture in the most general and comprehensive sense of the word . . ."

The McSweeney-McNary Act of May 22, 1928, states ". . . That the Secretary of Agriculture is hereby authorized and directed to conduct such investigations, experiments, and tests as he may deem necessary under sections 2 to 10, inclusive, in order to determine the best methods of reforestation and of growing, managing, and utilizing timber, forage, and other forest products, of maintaining favorable conditions of water flow, and the prevention of erosion, of protecting timber and other forest growth from fire, insects, disease, or other harmful agencies, of obtaining the fullest and most effective use of forest lands, and to determine and *promulgate* the economic considerations which should underlie the establishment of sound policies for the management of forest land and the utilization of forest products: *Provided*, That in carrying out the provisions of this act the Secretary of Agriculture may cooperate with individuals and public and private agencies, organizations, and institutions . . ."

### I&E Objective and Policy

The Forest Service objective is to use information and education as means of furthering optimum production in the most economical manner of the Nation's forest resources by fulfilling the Service's obligation as a public agency to report

its activities to the people, as well as to inform them about forests, forestry, and related resource activities; encouraging landowners and land managers to practice accepted forest and range management principles on forest lands under their jurisdiction; conveying the latest proven techniques of wildland management and utilization to resource managers; and preventing public misunderstanding about forestry and multiple-use management.

The information activities of the Department of Agriculture are intended to be impersonal and institutional, to avoid press-agency and personal publicity, and to provide basic factual information for further adaptation and localization by private media and local agencies. The Department uses all information media to disseminate reports of its work in order that the greatest number of farmers and others may obtain this information through their accustomed channels. The Department has an open-door policy and encourages representatives of all media to report its work.

Within the framework of Department policy, the Forest Service implements the I&E objective by cooperating fully with representatives of all information media; building and maintaining good working relations with communities, counties, States, other public agencies, timberland owners, and forest-product users; cooperating with all segments of the public, such as farm and labor groups, civic organizations, educators, youth groups, women's organizations, and business and professional groups; and issuing and distributing reports, research papers, map folders, articles for periodicals, bulletins, and other publications. In carrying on information and education activities of the Service the following broad restrictions are observed.

1. Statements bearing on Department policy, reports involving the work of more than one agency, and reports of developments of national importance are submitted to the Department's Office of Information for prior clearance. Material is channeled through the Washington office Division of I&E.

2. Information concerning matters awaiting decision before the Chief or the Secretary of Agriculture is not furnished.

3. Public criticism of any other bureau, department, or agency of the Federal Government; of any other public agency; or of any foreign country or official is avoided.

4. Knowledge about new and significant devel-

opments in all phases of Forest Service work is public knowledge. To guarantee that all information media have an equal opportunity to learn about these developments, and especially to obtain results of scientific research and economic studies, such material is issued only through regularly established channels.

5. Employees do not release information on legislative and budgetary matters that, under existing laws and regulations, cannot be announced in official releases.

6. Information to be released in the field involving matters of major concern to the Washington office, an experiment station, a region, or some special project is referred to the parent office for prior approval or comment if there is any doubt about concurrence by such office, station, region, etc.

Facts are the primary materials in Forest Service information activity. Views may be quoted if their source is made clear.

A Division of Information and Education has been established in each regional office and at the Forest Products Laboratory with a staff designed to meet the information needs of the region, the Laboratory, and neighboring experiment station. At an experiment station the editor, or whoever the station director so designates, heads information activities and coordinates them with those of the regional office. In the forest supervisors' offices, a staff officer is assigned chief responsibility for the information activities along with other duties. Rangers, special project directors, and their staffs share I&E responsibilities on their units in accordance with plans approved by their supervisors.

## Responsibilities

Fulfillment of the I&E objective is the responsibility of each person in the Service. All are advised to participate and take advantage of every opportunity to do the I&E job.

The Washington office Division of Information and Education plans and coordinates informational programs for servicewide application and provides guidance and leadership for attainment of the I&E objective locally. This involves:

1. Thoroughly analyzing activities, programs, and policies so as to anticipate needs and to direct servicewide I&E efforts to channels that will best help discharge Service responsibilities.

2. Encouraging and assisting regions, stations, and the Forest Products Laboratory to make similar analyses of their respective activities, programs, and policies as a basis for their own I&E planning and action.

3. Keeping alert and abreast of all Forest Service activities, established and proposed, so as to anticipate possible misunderstandings

and confusion. Assistant Chiefs and their respective divisions keep the Division of I&E informed on all activities where informational and educational skills, techniques, and services may help to insure a smooth, efficient operation.

4. Seeing that personnel understand major objectives and policies of the Forest Service and are kept informed of Service programs and activities and the progress of forestry generally.

5. Assisting the Division of Personnel Management and field units to train personnel in the use of I&E tools and techniques.

6. Inspecting field units on a planned basis.

7. Preparing and issuing informational news releases, conservation-teaching aids, films, color slides, publications, photographs, in-Service information, special-program material, etc., relating to forestry generally and the Forest Service in particular.

8. Keeping up with the latest I&E techniques and passing them on to the field units.

I&E responsibilities of regional foresters, experiment station directors, and the director of the Forest Products Laboratory closely parallel those of the Chief's office. For the regions and stations they generally apply on a regional rather than a servicewide basis and involve assistance and guidance to forests and research units. The I&E responsibilities of the Forest Products Laboratory in its field are nationwide.

Forest supervisors and research project leaders are responsible for analyzing, planning, and executing I&E activities in their zones of responsibility. Personal attention to the I&E phase of their jobs is of prime importance.

They must be alert to detect, anticipate, and correct misunderstandings before they become issues in their areas. Also, they must see that their staffs and field forces are kept informed about regional and national policies and activities, and latest research findings; and that they are trained in the use of I&E methods and media.

The district ranger is the principal public contact man of the Forest Service. Effective discharge of his information responsibilities requires tact, insight, and ability to cooperate with others in his official contacts. Specifically, a ranger studies, stays abreast of, and is thoroughly familiar with the public relations status of his district. He tries to anticipate and localize I&E problems and plans to resolve them. Also, he actively cooperates with press, radio, and television; school, sportsmen's, farm, civic, women's, youth, church, commercial, and industrial organizations; Federal, State, county and municipal agencies; and others in promoting an understanding of forestry. One of his most important I&E responsibilities is to keep himself well informed about the Forest Service and forestry in general so that he may best help the Service attain its I&E objective.

## Plans

The Chief's office and each region, experiment station, ranger district, and the Forest Products Laboratory has a long-range I&E analysis, projected 5 years or more into the future. It is augmented annually by planned I&E action which has been fully coordinated with, and is integrated into the unit's plan of functional activities for the year. The I&E jobs are based on a careful analysis of needs, problems, and current and anticipated I&E opportunities. Definite assignment of personnel, time, and media are made for each planned action, which has as its objective the conveying of forestry information to the public.

The following is an example of a forest problem and how it is brought to the public's attention.

1. *Problem.*—A deer herd, out of balance with its food supply, prevents successful planting of the 10,000-acre Pine Flat burn. Due to the complete absence of seed trees, natural reseedling is not possible. Unless planting is done by machine and hand, the Forest Service cannot redeem its obligations to the watershed and the dependent communities. Funds and local manpower will be available for the area when the deer herd is reduced enough to make planting practicable.

2. *General Action.*—(The chart on page 45 shows assignments and timing.)

a. Publicize the problem through (1) newspaper articles and ranger columns; and (2) talk to game clubs, civic groups, and service clubs.

b. Contact key individuals and enlist their support.

c. Enlist support of mill owners dependent upon the forest for saw logs.

d. Inform the State game commission of the problem, and press for more liberal hunting regulations through (1) a series of "antlerless deer" seasons; and (2) a "hunter's choice" season to replace the present buck law.

e. Show motion pictures which emphasize good wildlife management principles (such as "Wildlife and the Human Touch") to schools, game clubs, civic groups, and service clubs.

f. Plant 20 acres, fence 10 of these acres against deer, and establish camera points on the fenced and unfenced plantings. Set up a 5-year period as the time necessary to mold public opinion and achieve substantial reductions in the deer herd.

g. Conduct show-me trips for key individuals showing (1) the extent of the old burn and the lack of cover; and (2) the results of fenced and unfenced plantings. Emphasize that a deerproof fence is too costly a solution for large areas in need of tree planting.

All information work is integrated into both current and anticipated Forest Service projects,

programs, and jobs. Successful I&E work requires analysis and planning so that the best information approaches are used to keep the people well informed on forestry and Service activities.

Information planning steps follow a definite sequence. Each year, the 5-year I&E analysis is reviewed and brought up to date in the light of present and expected problems, opportunities, and objectives. The past year's I&E accomplishments are also reviewed and uncompleted jobs are integrated into the current work program. Proposed activities and the status of the current year's I&E jobs are analyzed and action needs determined for each item. This done, a decision is made on the kinds of approaches, media, and techniques to be used. Then, personnel are assigned, target dates set, and the I&E jobs are incorporated into the unit's periodic trip and job plans under the respective functions to which the I&E action applies.

## Advisory Committees

Committees composed of persons other than Forest Service members are formed to advise the Service on broad aspects of policies or programs of research, cooperation with State and private forestry agencies, and management of National Forests. Most of the advisory committees deal with either multiple use, grazing, or research.

These committees provide a sampling of public opinion on present or proposed Forest Service policies, plans, and programs. The success of advisory committees depends on keeping members interested, active, and imbued with a desire to serve the best interests of the general public. Regions, stations, and forests are encouraged to form advisory committees wherever practicable. With respect to information on meetings of advisory committees, the general policy is to provide suitable public notice of such meetings, hold briefing sessions for the press on the background of items on the agenda, and issue press releases or reports on committee activities and recommendations.

## I&E Cooperative Programs and Activities

1. *Educating the Public in Forest Fire Prevention.*—The nationwide Cooperative Forest Fire Prevention campaign (CFFP) reaches millions of people and is conducted jointly by the Forest Service and State foresters, under sponsorship of The Advertising Council, Inc. Using Smokey Bear as a symbol, forest fire prevention is presented to the public in posters, radio and television programs, movies, press releases, feature articles, exhibits, etc. The campaign is carried out on an annual basis, with a new campaign each year.

2. *School Programs.*—It is imperative that young people be taught as much as possible about the benefits of forest and related natural resource conservation, because their attitude today will largely determine how, as adults, they will care for these resources. Forest Service personnel

*Specific Assignments.*—Five-year I&E analysis and action needed, Seneca National Forest

Job	Fiscal year				
	1959	1960	1961	1962	1963
Wildlife					
<i>Problem:</i> Reduction of oversize deer herd which makes planting of the 10,006-acre Pine Flat burn impracticable.	Forest supervisor and resource management assistant meet with Game Commission and press for (1) antlerless deer seasons and (2) hunter's choice season, if possible.	Forest supervisor and resource management assistant followup meeting with Game Commission on deer season needs to meet problem.		Forest supervisor and resource management assistant meet with Game Commission on progress of herd reduction.	Resource management assistant and ranger No. 3 analyze deer herd situation and decide if planting feasible.
Problem to be solved by 1963. Many object to any herd reduction and are radically opposed to a doe season at any time.	District ranger No. 3 write 2 ranger columns on the problem.	District ranger No. 3 write ranger column on demonstration planting—fenced and unfenced.	District ranger No. 3 write ranger column, with camera point illustrations, on problem.	District ranger No. 3 conduct show-me trip for key individuals and show results of demonstration planting, fenced and unfenced.	District ranger No. 3 write ranger column with camera point illustrations on problem.
	All rangers contact key individuals on problem and enlist their support.		All rangers make followup contact with key individuals on the problem.		
	All rangers contact game clubs, service clubs, and schools on their districts. Give talks and show movies on wildlife and multiple-use management.		All rangers make followup contact with game clubs, service clubs and schools on their districts.		
	District ranger No. 3 plant 20A of burn. Deerproof fence around 10A following planting. Establish camera points on fenced and unfenced plantings.		District ranger No. 3 make repeat photos from camera points.		District ranger No. 3 make repeat photos from camera points.

give whatever assistance and cooperation they can to those charged with the education and training of American youth. All personnel strive for the full support of the State and local school and conservation officials in their relations with schools. Where State forestry agencies have active school programs, local forest officers coordinate their education efforts with those of the State.

3. *Tree Planting Projects.*—New cooperative tree planting projects such as the Conservation Reserve and shelterbelts depend to a large degree upon intensive informational programs to get public acceptance and response. The Washington office and regional office divisions of I&E develop and implement special I&E programs for such projects. Field people participate in them in accordance with instructions issued at the time.

4. *Boy Scouts of America.*—Close cooperation has always existed between the Forest Service and the Boy Scouts of America. Forest officers continue this cooperation to the fullest extent compatible with other regular duties. This organization probably reaches more boys than any other organization in America.

5. *Future Farmers of America and 4-H Clubs.*—These are organizations to which a large segment of rural and suburban youth belong. In working with FFA and 4-H clubs, field officers strive to coordinate their efforts with local Extension Service representatives.

6. *Other Youth Organizations.*—The Forest Service works with numerous other youth organizations, among which are the Girl Scouts, Campfire Girls, and youth hostels. Personnel endeavor

to help these and other youth organizations as best they can in fostering an appreciation and understanding of natural-resource conservation.

7. *Women's Conservation Activities.*—Women's organizations are growing in size and number. They are widening their scope of interest in community, national, and international affairs. Natural resources, the place they hold in the local and national economy, and the contribution they make to individual and family life are being studied by women's organizations. Many conservation programs have been activated as a result. Upon request, the Forest Service cooperates with these organizations in their conservation-education activities.

8. *Cooperation With Other Organizations.*—Many other organizations are interested in natural resource conservation or are dedicated to the improvement of protection and management practices on the Nation's wildlands. All segments of the Forest Service cooperate in every practicable way with organizations striving for optimum production, utilization, and protection of these wildlands.

In addition to the above each Forest Service employee has a responsibility to the community in which he lives. It is a necessary and desirable part of community living. The degree to which he successfully discharges this responsibility is a measure of how well he is doing his I&E job.

## Written Information Media

Next to oral communication, written information media are probably the most used in Government today. Millions of Americans have received Forest Service letters, publications, circulars, etc. Through the years, written media have remained the principal means of disseminating information to the public about National Forest management and protection, research, and State and private forestry.

In meeting the responsibility of keeping the public informed on forestry, written media are used to the extent compatible with cost, budget allowance, intended audience, work unit needs, and other available media. In handling correspondence, publications and processed material are sent to answer most questions. However, care is taken to see that letters warranting individual treatment are handled in a manner that shows interest in the inquirer's problem or request. Courtesy, warmth of feeling, and promptness in replying are essential in handling these letters.

### *The Press*

As a publicly financed organization, the Forest Service is obliged and eager to provide the people with information about its activities. One of the most effective ways to do this is to furnish the information to newspapers and appropriate maga-

zines. Forest officers give the press full cooperation and make available any information requested, subject to pertinent limitations.

Information made available to the press—nationally, regionally, and locally—includes changes in policy or procedures, use of National Forest resources, significant developments in research, programs being developed, changes in key personnel, forest fire news, new facilities on National Forests, etc.

Continued sampling of public opinion is made by forest officers through newspaper reading. Selected clippings which include references to all Forest Service and related activities are furnished to the regional and experiment station offices and forwarded to the Washington office. Both critical and commendatory articles are sought. Often, the critical articles and editorials are of greater importance, since they may indicate a need for study and action.

The Chief's office, regional offices, experiment stations, Forest Products Laboratory, and other offices issue formal press releases. These releases are made available on an equal basis to all news media that wish to receive them.

## *Official Publications*

In preparing publications, the objectives are clarity, accuracy, succinctness, soundness, and effectiveness in reaching the particular group for which the information is intended—that is, effective communication of ideas. In technical publications, the policy is to show individual authorship whenever practicable. However, each publication is the product of teamwork. Authors, editors, illustrators, administrative superiors by their advice, and technical reviewers by their searching criticism all contribute.

The term "publication" refers to material reproduced in 100 or more copies by printing or equivalent processes and made available for distribution to the public. It includes articles published in non-Government periodicals. It excludes mimeographed material, posters, signs, tags, blotters, and similar items; also, maps and charts without accompanying text matter. The Forest Service originates several broad classes of publications, such as:

1. Departmental series publications.
2. Periodical publications.
3. Forest Service series and numbered publications of the Chief's office.
4. Field-issued publications such as reports, technical papers, lists, visitors' guides to special areas, map folders, instructors' aids, field manuals, and special program-supporting items.
5. Cooperative brochures, leaflets, and books; usually with State agencies, foundations, or industrial associations.
6. Articles in non-Government periodicals.

## ***Cooperative Publications***

In all arrangements for a publication to be issued cooperatively, the terms of cooperation are designed to secure the advancement of public interest in Forest Service work and include adequate acknowledgment of Service participation. Results of cooperative agricultural research and of other cooperative work, may be published by the Forest Service or by a cooperator. For example, the cooperator may publish if the Service has determined that the cooperator has contributed the major share to the cooperative project, and that such publication will give adequate dissemination of results. In Forest Service publications, the policy is to include clear statements of the nature and extent of any cooperation or assistance furnished by agencies, firms, or individuals outside the Service.

*Illustrations.*—Drawings as well as photographs are used for illustrations when they are essential and related entirely to the transaction of public business. They help make a publication attractive, excite interest, and clarify its message.

In publications printed by the Department, agency negative numbers are shown with photographs that are agency property. Under some circumstances, photo negatives that are not the property of the Forest Service may be used. When this is done, courtesy credit lines or copyright lines are shown for photos furnished from non-Government sources. Copyrighted illustrations are used only with written permission of the copyright owner.

## ***In-Service Information***

### ***Washington Office Information Digest***

A mimeographed sheet, usually issued two or three times weekly by the Division of Information and Education to keep members of the Chief's office and the field informed of current Forest Service and related activities. Copies of this publication are furnished to regional foresters, directors, supervisors, research project leaders, rangers, and directors of field projects. It is available to all administrative, technical, and clerical personnel, and is for in-Service use only.

### ***Forest Service Alumnus***

A multilithed bulletin issued quarterly by the Washington office Division of I&E to keep Forest Service "alumni" informed on forestry matters and important Service happenings. It is distributed to former members of the Service who request it and to regional foresters, station directors, and forest supervisors.

### ***Washington Office Notes***

A mimeographed sheet issued as needed, with news and announcements of interest to Washington office personnel. It includes organizational changes, meetings and programs, personnel

changes, names of field men on detail, and retirements. Distribution is made to members of the Washington office.

## ***Field Newsletters***

Regional foresters and directors may issue periodic official newsletters for their respective areas of jurisdiction. They are responsible for the kind of material published, which is largely limited to official matters. However, there is no objection to items that promote fellowship and organizational spirit, or tend to improve morale.

Forest supervisors, when so authorized and under such limitations as may be prescribed by the regional forester, may produce official newsletters for distribution to forest personnel and designated cooperators and collaborators. Field newsletters are not distributed to the general public.

## ***Out-Service Material***

Duplication and distribution of material produced by outside agencies and individuals in magazine articles, speeches, meeting notes, etc., keep personnel informed about forestry developments and activities. Whenever such material facilitates Forest Service work and objectives it is brought to the attention of Service people. Care is exercised in the duplication and circulation of material published outside the Government to avoid violating copyright laws.

## ***Audio-Visual Information Media***

The radio and television media reach an audience of millions of Americans every day. As a condition of license, all radio and television stations contribute a portion of their broadcast and telecast time to public service programs. Many commercial sponsors also devote a part of their program time to public service broadcasting. Most local stations are willing to cooperate in the presentation of forestry and conservation programs.

### ***Radio and Television***

The Service strives to make the fullest use of radio and television media in disseminating forestry information to the greatest number of people. To help meet its information and education obligation to the people, it cooperates in every possible authorized way with broadcast representatives of radio and television stations and networks. Regions, experiment stations, the Forest Products Laboratory, forests, work centers, ranger districts, and field projects make planned use of available radio and television time.

### ***Motion Pictures***

Many Americans have no opportunity to visit the National Forests or Forest Service field stations. It is, therefore, a Service responsibility to provide a means whereby people throughout the

Nation may see Service work in National Forest administration, State and private cooperation, and research. Through motion pictures, messages of forest multiple use, protection, and research are brought to any community desiring Forest Service films. Several million people have viewed these films, and thousands of adults and children made their first acquaintance with forest conservation in this way. Forest Service films are prepared in cooperation with the Department of Agriculture's Motion Picture Service.

### **Photographs**

The large collection of official Forest Service photographs is invaluable for information and education work. Good photographs are an integral part of research, educational, historical, informational, and training activities. Reproductions of official photographs are furnished free to newspapers, magazines, publishers, and cooperators in accordance with provisions of existing law with the understanding that the recipient will use the reproductions in the public interest and in accordance with regulations.

### **Color Slides and Filmstrips**

Slides provide a simple, economical, and effective way to illustrate and localize talks. Each regional office, experiment station, forest, and as many work centers, ranger districts and field stations as possible, are encouraged to have and use one or more current, localized, color-slide lecture sets.

### **Exhibits**

A well-designed exhibit can be a bit of the out-of-doors brought indoors, a more or less stationary show-me trip. It can inform a large number of people, especially when manned by a technician who can answer visitors' questions, at a small cost per viewer.

No request or opportunity to build or display a Service exhibit is ignored. Each possible exhibit is prudently considered as to cost, expected benefit to the Government, compliance with USDA regulations, availability of funds, and relationship to exhibits of others. A proper balance is maintained between the use of exhibits and other I&E media. In preparing their I&E plans regions, experiment stations, the Forest Products Laboratory, forests, research installations, and ranger districts give careful consideration to the possible use of the exhibit medium.

### **Signs and Posters**

A sign or poster, when correctly used, can also be a very effective information medium. For administrative purposes the term "poster" includes all temporary notices, directions, information, or instructions ordinarily made of paper or cardboard. It includes campground rules, timber sale notices, fire rules, fire prevention messages, farm woodlot series, etc. Signs, in general, serve the

same purpose as posters except that they are made of material other than paper or cardboard and are permanently installed and maintained. All signs and posters are so displayed that they will be easily seen, read, and understood by the intended public.

## **Visitor Information Service**

With the passage of the Multiple Use Act in 1960, the Forest Service began to intensify its efforts to inform forest visitors about the National Forests and to provide them with interpretive programs aimed at making their visits more enjoyable and meaningful. A visitor information service was established for this purpose.

## **Other Information Media**

The following are examples of other information media that serve to disseminate forestry information to groups, as well as report Service policies, programs, and activities.

1. *Public Speaking*.—An official talk with a specific objective prepared with concrete facts, adequate statistics, case examples, and visual aids can be an effective information tool.

2. *Personal Contacts*.—In Forest Service work there is no adequate substitute for personal contacts as keys to productive public relations and effective informational and educational work. Therefore, it is the responsibility of each forest officer to devote as much effort to such contacts as is consistent with other phases of his work. In these contacts, a forest officer is judged by such personal traits as friendliness, sincerity, honesty, and appearance. Self-analysis is recommended to overcome any personal weaknesses so that the officer may improve his ability to work successfully with people.

The basic philosophy in Forest Service dealings with people is to indicate a personal interest in their welfare and problems, a genuine desire to be helpful, and a willingness to consider divergent opinions. Every employee is advised to observe the Golden Rule when replying to letters and telephone calls and when receiving visitors, for on good personal relations depend good community relations.

3. *Show-Me Trips*.—Show-me or informational trips are a prime medium for keeping key people in communities and industries informed on forestry and range opportunities and practices. These trips are used by forest officers to familiarize key people with National Forest administration, research, and cooperation with State and private forestry.

4. *Forestry Field Days*.—Field days are encouraged as a means of informing relatively large numbers of local people at a given time. They are usually planned around a specific subject or, at most, a few subjects. Most people who attend have a lively interest in the subject or subjects to be demonstrated and discussed. Field days are



an excellent medium for displaying research and other management results.

Each station plans, organizes, and conducts field days at research project locations when research on specific projects has advanced far enough to warrant informing the local people. One field day per location per year is the goal. National Forests and ranger districts employ field days to inform local groups on specific resource activities and needs.

Like show-me trips, field days require careful advance planning to make them effective. Since substantial numbers of people are usually involved, sanitation, safety, parking, seating, and drinking water are given careful attention. Research and National Forest personnel cooperate fully in the planning, organizing, and conducting stages.

5. *Open House*.—Open house is an excellent medium for establishing productive public relations locally. It is used in opening a new office, smokejumper headquarters, nursery, ranger station, public camp, or other fixed facilities. Forest officers use this medium whenever possible.

6. *Demonstration Areas*.—Demonstrating methods and results is an effective medium for getting better conservation practices on the land. Accordingly, well-signed and maintained demonstration areas within National Forests and experimental areas are established along well-traveled roads. On ranger districts major functions are represented on one or more demonstration areas. The same standard prevails for experimental areas.

7. *The Forest Service Showcase*.—The showcase includes such things as offices, dwellings, warehouses, guard stations, vehicles, and equipment. The Forest Service often is judged by the appearance and condition of buildings and equipment, which it is obligated to keep in good shape. How these look to the casual observer determines in large part his opinion of Forest Service efficiency and worth.

Signs are also a part of the showcase and appear according to established standards on Na-

tional Forests, experimental forests and ranges, offices, demonstration areas, streams, roads, trails, and all other facilities. They are so lettered that the particular National Forest, Forest Service, and the Department are readily identified and the purpose of the sign is clear. Although construction, installation, and maintenance of National Forest signs are engineering functions, the Washington office (I&E), the experiment stations, and regional I&E divisions share responsibility for design, wording, and placement. Keeping signs neat and attractive is a responsibility of the unit in which the signs are located.

### Historical Data

The Forest Service is interested in the preservation of its history, and also of the history of forestry in the United States. Much Service information of historic interest has been lost in the past because no one took the trouble to record and preserve it. To prevent further neglect or loss of such material, provision has been made for the permanent maintenance of records and materials of historic interest or reference value.

### Library

All libraries operated within the Department of Agriculture and all units of the Department providing library services, and their property and records, are under the general supervision and direction of the Director, Department of Agriculture Library, Washington, D.C. An agency-library liaison officer and an alternate are appointed by the heads of the respective offices, to serve in the Washington office, each regional office, experiment station, the Forest Products Laboratory, and the Institute of Tropical Forestry. Agency-library liaison officers are responsible for approving requests for acquisition of reference aids; maintaining proper records and inventories of reference aids; approving requests for indefinite loans from the main USDA Library; and coordinating proposals for changes in library services.

## Chapter 8

# Personnel Management

The major objective of personnel management in any organization is the effective development and utilization of its human resources. Development includes increasing proficiency through learning and by adding capable employees to the organization. Utilization includes assignments that serve the mutual needs of the employee and the organization as well as adequate performance. Personnel management is, therefore, not an entity but an integral part of the total management because performance is the product of individual proficiency and motivation, and group organization and methods.

New employees for all continuing positions are usually selected from lists of Civil Service eligibles. Higher grade positions generally are filled by promotion. This insures that employees occupying positions of responsibility have a thorough knowledge of the Forest Service organization and program objectives. Selections are made occasionally from other agencies of the Department of Agriculture or other Government agencies if better qualified candidates can be recruited from such sources.

Although most of the higher grade positions requiring administrative ability also require professional competence, anyone with an appropriate technical education can advance to such positions. This is limited, however, to positions for which a definite educational requirement has not been established. Individuals must demonstrate outstanding ability to qualify in this manner.

### Promotion, Reassignment, and Transfer

1. *Promotion Objectives and Policies.*—The objective is to provide an adequate employee pool so that several individuals are in training for advancement to each position of greater skill or responsibility.

The qualifications of all competitors are compared with the requirements of the position when filling a vacancy. Consideration is given to training, experience, demonstrated ability, personality, interests, and seniority. Such a policy usually provides more candidates than promotion opportunities, and some fully qualified individuals may fail to be promoted at a particular time. Selection of the successful candidate depends on the selecting officer's judgment, supported by information and advice made available to him through the merit promotion program and by other means.

All qualified employees in the organization com-

pete for advancement. Promotion of nonprofessional employees up to and including grade GS-7 is within the administrative jurisdiction of the forest supervisor or research project leader. Promotion up to and including grade GS-12 is ordinarily within the jurisdiction of the regional forester or station director.

Recommendations for promotions to grade GS-13 and above are submitted to the Washington office for prior approval. This insures consideration of all qualified employees throughout the Service.

Rosters of all employees in grade GS-12 and above are maintained in the Washington office. These rosters are supplemented by personal appraisals. All qualified candidates, grade GS-12 and above, are considered for vacancies as they occur—including interregional and interstation transfers. The purpose is not only to provide opportunities for promotion, but to place the best qualified person in the vacancy, broaden his training and experience, and develop a reservoir of well-trained and tested employees for positions of the highest responsibility.

2. *Reassignment Objectives and Policies.*—Professional employees especially, and subprofessional and clerical employees to a lesser extent, may expect occasional reassignments without promotion. Reassignments are made for the immediate benefit of the Forest Service or to broaden the employee's training and experience. They provide for training in other activities, or testing the individual's ability to adjust himself to different types of work.

3. *Transfer Objectives and Policies.*—Technical, professional, and administrative employees are often transferred from one administrative unit to another at different headquarters. Grade promotions are usually made at the time of transfer, but transfers without grade increases are sometimes arranged. Transfers are made primarily for the benefit of the Forest Service, but are made also to provide training opportunities in a different environment, in another function, or in another line of work such as National Forest administration, research, or State and private forestry.

Transfers between agencies can be arranged when a job change is of advantage to the employee or the Government. No objection is interposed if the employee wishes to transfer for personal reasons.

Occasionally employees request reassignment or transfer because of illness, family problems, or other personal reasons. Personal problems some-

times arise where help is needed. Employees are encouraged to discuss such problems with their work supervisors or the Washington office, region, or station personnel officers. Sympathetic consideration is given to such problems; and advice or help is provided, if it is within the administrative power of the Forest Service.

### **Career Development**

Many resource, administrative, cooperative, and research activities are conducted by the Forest Service. The management of the National Forests requires the services of a large number of administrators who serve as district rangers, forest supervisors, etc. Functional specialists also are required as staff officers for resource or administrative management of the National Forests, regional offices, experiment stations, and the Forest Products Laboratory.

Washington office, region, and station personnel officers make an effort, through systematic records and personal contacts, to discover the interests and aptitudes of all employees. In this manner, a career may be planned that will develop and advance an employee in the field best suited to his basic training, aptitudes, and interests. Guides which define the qualifications and experience requirements for advancement are found in the Personnel Handbook.

### **Employee Self-Development Program**

New employees receive training on the job by the immediate supervisor or sometimes in groups conducted by the regional training or personnel officers. One important feature of such training sessions is to provide an opportunity for the employee to discuss his objective with supervisory personnel who are interested in his development.

An excellent opportunity is provided at the time of annual employee-development interviews for all employees to discuss their training needs and advancement opportunities. Work supervisors or personnel officers are available to plan and assist employees with training plans designed to qualify them for advancement. However, advancement is dependent upon individual accomplishments on the job assigned, and opportunities or vacancies in higher grade positions.

Employees desiring aid in planning careers may consult with their work supervisors or personnel officers. It is the policy to provide on-the-job training plans for each employee. These plans are discussed with the employee, as well as extracurricular training opportunities. All personnel officers are well equipped to give advice concerning reading references or graduate work-study courses.

## **Personnel Management Organization**

The function of personnel management in the Forest Service is decentralized and assigned to specific organizational segments at various levels.

1. *Washington Office.*—A Division of Personnel Management in the Washington office serves as the central unit in the Forest Service, providing leadership and coordination for all personnel activities. The division serves under the direction of the Assistant Chief for Administration. Representatives of the division maintain liaison with the Office of Personnel serving the Secretary of Agriculture for all personnel activities in the Service. A separate section of the division serves as a personnel office for employees headquartered in Washington.

2. *Station Offices.*—The director of each station and of the Forest Products Laboratory has one or more personnel specialists on his staff. These people are part of the division of station management. They serve as technical advisers to the director, division chiefs, and other supervisory employees in the organization. They may also be assigned as counselors for individual research workers. The personnel organization covers all personnel activities for the station and provides leadership for activities other than appointment and classification at the work level.

3. *Regional Offices.*—Each regional forester has a separate organizational unit on his staff to provide the competence needed in the personnel field for the effective development and utilization of the human resources assigned to the region within the limits of applicable laws and regulations. The head of the organizational unit serves on the staff of the regional forester and contributes to the general management of regional programs.

When requested, representatives of the personnel organization serve as technical advisers to regional division chiefs, forest supervisors, district rangers, and members of their staffs. The personnel organization covers all personnel activities in the region and provides leadership in developing competence in these activities at the forest and ranger-district levels.

4. *Forest Supervisor Offices.*—Not many forest supervisors have personnel specialists on their staffs. Formal classification authority, therefore, is seldom delegated to the forest level. All other personnel activities are present. Responsibility for each specific personnel activity is usually assigned to some member of the staff. For example: the administrative officer may be responsible for appointment activities, the engineer for certain safety activities, and a forester for certain training activities.

5. *Ranger District Offices.*—Since district rangers are in charge of the operating units of National

Forest administration, they seldom are assigned responsibility for appointment and never for position-allocation activities. Responsibility for other activities may be assigned to specific members of the district organization. For example: the fire-control technician may serve as selection, placement, and training officer for all fire-control aids; the mechanic may be responsible for all driver testing, training, and licensing; a warehouseman may be assigned responsibility for all building protection and fire extinguishers; etc.

### **Employee Responsibilities**

Each employee is expected to identify himself with the common purpose of the Forest Service, which is to serve the people of the United States by maintaining confidence in the integrity of the Service and the worthwhileness of its goals. In addition, each employee is expected to display a willingness to serve and demonstrate ability in organizational communications by:

1. Contributing to organizational goals as expected. This involves learning the goals and the relationship between various organizational units, as well as the standard operating procedures applicable to the particular assignment. It also includes maintaining adequate physical and mental health.

2. Helping to resolve conflicts between procedures and goals. This involves participation in developing work methods, organization arrangements, or environmental conditions that will enhance proficiency. It also includes recommending changes in laws and regulations which inhibit proficiency.

3. Helping to strengthen the common purpose. This involves helping other members of the group adjust to the environment, acquiring knowledge and skills that will permit assignment to more challenging work or participation in establishing organization goals, and explaining the organizational goals and achievements to individuals and groups outside the Forest Service. It also includes leaving the organization voluntarily whenever conflicts between individual and organizational goals cannot be resolved.

### **Responsibilities of Work Supervisors**

In addition to working toward personnel and organizational objectives, work supervisors are expected to strive to:

1. Practice firm and fair leadership by maintaining an organizational relationship in which employees willingly accept him as a leader in their cooperative endeavor.

2. Achieve desirable changes in employee behavior by understanding individual needs and assisting each employee in perceiving the the full picture of the immediate situation.

3. Gain acceptance of group goals by having employees participate in setting them.

4. Obtain effective communication by permitting free interchange of information, opinion, and ideas among members of the group.

5. Set a good example by behavior and by practicing the Golden Rule.

### **Responsibilities of Staff Officers**

Each functional staff officer serves the manager by providing technical guidance and participating in the solution of technical problems. The able staff officer keeps informed of progress toward organization goals and identifies problems hindering progress. He also keeps the manager informed on matters (a) for which the manager is held accountable; (b) which are likely to cause controversy within or between organization units; (c) which require advice of the manager or coordination with other persons or units; and (d) which involve recommendations for changes in established policies.

### **Recruitment and Employment**

Legal authority for recruiting to fill Federal positions is vested in the Civil Service Commission. By regulation, it has excepted certain positions from the provisions of the Civil Service Act which require public announcement of vacancies to be filled.

Forest Service authority to recruit is limited to certain temporary and seasonal positions; reinstatement of former Federal employees; positions established cooperatively with an agency of a State or local government; and positions for which there is no existing register of eligibles established as a result of a competitive examination.

### **Student Recruitment**

Forest officers are constantly on the lookout for promising young students in the various professions. Special efforts are made to attract these individuals to the Forest Service for a career. Region and station personnel officers correlate student employment for all activities within the regions and stations. This ensures equitable distribution of graduates from those schools which are training students for professional work.

Annually, forest officers visit forestry, range, engineering, and business administration colleges and universities to interest students in applying for Forest Service positions. Forest officers become personally acquainted with the students, for it is important that they receive favorable impressions of Forest Service personnel and understand the Service's policies, objectives, and ideals. They also make an effort to interview personally all senior students who are interested in a Forest Service career.

Often, recruiting officers also visit high schools to acquaint and interest outstanding students in Forest Service careers.

The objective of liaison with students and faculties is to strengthen the Service's relations and enable it to obtain outstanding graduates. Some ways to attain this objective are to become acquainted with the faculty; arrange faculty field trips; employ faculty members in the summer; arrange joint field meetings and discussions with faculty members and students; and participate in school activities, such as club meetings, faculty meetings, and class discussions.

## Employee Development and Training

Employee development and training are designed to (1) qualify each individual to perform satisfactorily to the prescribed standards of his assignments; (2) prepare each individual for a satisfying, productive career; (3) stimulate maximum self-improvement and growth to release each individual's full potential; and (4) serve as an essential aid to the efficient, long-range administration of the Forest Service.

The Forest Service plans and provides for effective personnel training and development as an integral part of managing its current activities and meeting future requirements. Personnel training and development are assigned proper priority in the planning and direction of all activities and projects to enable each unit supervisor to effectively meet those responsibilities. The following outlines the training policies.

1. Personnel development and training are closely coordinated with the program needs of the Service and all Division of Personnel Management activities; particularly (1) the inventory of long-range needs for technical and managerial leaders in National Forest administration, research, and State and private forestry, and (2) the effective utilization of each employee so as to advance him to his full capacity.

2. Each employee is assisted and encouraged to carry out his responsibility for self-improvement and development. The desire to learn must exist or be developed before any training activity can be effective.

3. Each employee is trained for his position before being given full authority or being held responsible for the full and satisfactory performance of his duties.

4. Personnel development and training are given sufficient priority to enable each supervisor to provide efficient on-the-job training and seek out developmental experiences for each of his employees. Training and development are based on essential needs and planned individually for each employee in the Forest Service, excluding emergency workers or others hired for less than a season.

5. All project and job planning include sufficient instructions to get each task accomplished in

a safe and efficient manner, in accordance with established standards.

6. Employees' interests, qualifications, and training needs for advancement or increased responsibilities are considered at least annually, in line with the merit promotion plan and discussions on performance requirements and ratings.

7. As a minimum, all regions have a training officer who devotes at least one-half time to the technical planning, leadership, and coordination of the region's employee development and training program. All unit managers clearly designate responsibility for technical training leadership and see that this responsibility is fulfilled on a continuous basis.

## Plans and Standards

Most employee development and training is self-development and training. Development of the individual, including training, is primarily the result of what happens on the job to which he is assigned, plus his efforts in self-improvement. In this process and in attaining quality training rapidly, the immediate supervisor is the key person. He is responsible for identifying the needs of the individual and then seeing to it that these needs are met.

Development and training are planned at least annually on the basis of performance requirements and individual needs. Training and development are effected through use of the best possible methods, instructor skills, knowledge, and facilities available, and are designed to create an effective learning situation.

Minimum standards relating to the following general phases of training and development are identified and met by the regions and stations through long-range programs, annual unit training plans, and individual plans.

Phase A—Student training—seasonal or other temporary employment.

Phase B—Primary training during first year of full-time employment—includes effective orientation.

Phase C—Basic training—generally, the second, third, fourth, and fifth years of satisfactory service and qualification for journeyman competence.

Phase D—Career development—generally the period starting approximately with the sixth year of service and continuing throughout the individual's career with the Forest Service.

All new employees are given orientation training as soon as practicable. This is given individually within the individual's work unit and supplemented by group action when the latter is practicable and efficient. The primary purpose of this training is to acquaint the employee with the objectives and activities of the organization, and to establish him and his responsibilities in the Forest Service.

All employees are oriented when necessary, to become familiar with new assignments resulting from added responsibilities, details, transfers, or promotions.

Training standards are based on established qualification and performance requirements for each job assignment. Where needed, these standards are set up for each functional job and adequately described in functional handbooks and other operating references. Adequate training will qualify each employee to perform his assigned job and prepare qualified personnel for increased responsibilities. The ability to perform safely and efficiently in accordance with established job descriptions, job standards, and performance requirements is the measuring stick of training results.

A training officer strives to be well trained in all the principles, arts, and techniques that relate to the learning processes. He should also be familiar with the science of education and the philosophy and techniques of adult education; know the methods and techniques of vocational training; know the science and practice of instruction, and when and how to use its techniques; know and demonstrate the skills of stimulating disciplined self-development; know about training in other public organizations and in industry, and when and how their methods will best serve his unit's training programs; and be a student of psychology for the same reason that the forester should study silviculture.

A training officer also strives to redeem the professional responsibilities for administering the unit's training program, by:

(1) Assembling and analyzing facts related to the size, extent, and content of the employee development and training jobs.

(2) Planning for present and future training needs and assisting in determining who, what, where, when, and how.

(3) Providing leadership in training activities by working with and through staff and line officers.

(4) Keeping abreast of developments in other training fields.

(5) Participating in advisory and counseling services to line-staff employees.

(6) Participating and assisting in evaluating the results of the unit's training activities.

(7) Letting others, both in and out of the Service, know what is going on in training through in-Service news items and public press releases.

(8) Continuing the development of himself, particularly in the important field of communications.

(9) Planning the use of his time so that a major portion of it is devoted to training for leaders.

Competent employees are selected for all positions, and every employee remains in an assignment long enough to master it and make a constructive contribution before being moved. Such selection requires careful planning and consideration. Insufficient consideration of an individual's potential for promotion could result in either a short-term assignment or postponement of a merited promotion. The desirable time element for an assignment varies with individuals, the class, level, and complexity of the work involved, as well as opportunities for other assignments.

Chart M is a sample of a Master Training and Development Guide. Similar guides are available or are being developed for all classes of employees. Descriptions of courses 1, 2, and 3 are included as examples.

## COURSE 1

### *Description*

Attention: This course description is only suggestive. Exact content must be tied to the needs of your individual or group.

### *Basic Orientation*

Prerequisites: None.

Objectives:

1. To familiarize the new employee with his job and with Forest Service objectives, responsibilities and operating philosophies.
2. To give the new employee an understanding of his relationships with the organization, his co-workers, and his work environment.

Subject Coverage:

1. Objectives and organization of Forest Service in USDA (Emphasize Administration, Research, and State and Private Forestry relationships).
2. The Forest Service and multiple use.
3. Personal responsibility for:
  - a. Job performance.
  - b. Personal conduct.
  - c. Self-development.
4. Employee benefits.
5. Personal introductions in- and out-Service.

Guidelines:

Location: On the job.

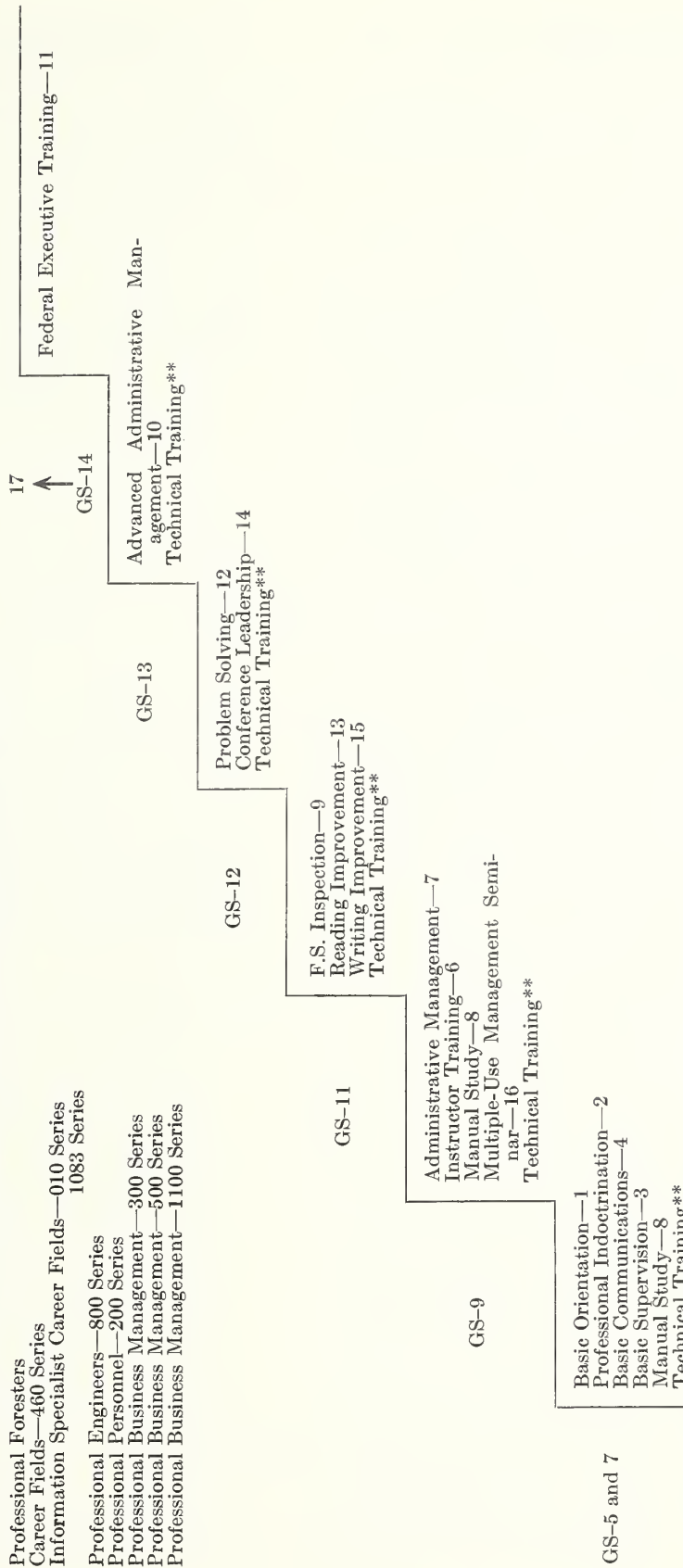
Methods: Individual or group discussion (1 hr. per week). Self-study.

Training Aids: Forest Service films.

References: Orientation handout material, orientation booklets developed by regions and stations, and reading references; *Breaking New Ground*, Gifford Pinchot; *The Forest Ranger*, Herbert Kaufman.

## CHART M

### *Master Training and Development Guide—Management Training*



Note: Numbers indicate specific course description.

\*\*To be developed by field divisions under W.O. division leadership.

## COURSE 2

### *Description*

Attention: This course description is only suggestive. Exact content must be tied to the needs of your individual or group.

### *Professional Indoctrination*

Prerequisites: Minimum of three months on-the-job training in first assignment.

#### Objectives:

1. To start individual development and performance of beginning professional employees through indoctrination of basic FS policies, goals, and objectives.
2. To provide understanding of the initial philosophy that prevailed in the building of the Forest Service.
3. To explain Forest Service multiple-use management objectives and principles.
4. To start employee's self-development by providing a sound basis of facts on which he can build.
5. To develop self-confidence, creative thinking, and orderly analysis of problems.

#### Subject Coverage:

1. Legal basis for FS—laws pertaining to FS including appropriation acts.
2. Organization of FS under USDA, emphasizing regional, Chief's, Research, State and Private, and Department organization. Clearly discuss the interrelationships.
3. Resource management and protection—
  - a. Watershed
  - b. Timber
  - c. Recreation
  - d. Lands
  - e. Range
  - f. Wildlife
  - g. Fire Control
  - h. State and Private Forestry
  - i. Research
4. Services—
  - a. Business Management
  - b. Personnel Management
  - c. Engineering
  - d. Operation
5. Multiple-use management and land management planning.
6. Trespass regulations and procedures.
7. Expose trainee to creative thinking, problem solving, and decision-making techniques.
8. Bring out basic philosophies of the Forest Service. Examples: Forest Service is noted for its spirit—our people are dedicated and sincere. They are fired with enthusiasm; work with purpose and urgency. They have faith in what they are doing. Forest Service strength comes from this spirit.

9. Strong emphasis on the public relations and information and education aspects of the Forest Service management job.

#### Guidelines:

Location: Forest(s) or Region(s).

Methods: Group training (2-4 weeks). In some instances, it may be desirable to combine professional indoctrination with training in basic supervision and basic communications in 3-6 week training camp.

Training Aids: All types of visual aids.

#### References:

Forest Service Manual and Handbook.

Other Region's training syllabuses.

Complete handout material in binder.

*The Forest Ranger*, Herbert Kaufman; Hopkins Press, Baltimore, Md.

## COURSE 3

### *Description*

Attention: This course description is only suggestive. Exact content must be tied to the needs of your individual or group.

### *Basic supervision*

Prerequisites: That nominee now occupies or will occupy a position requiring supervision of employees. Completion of basic communications course or equivalent. He has been identified as a potential work supervisor.

NOTE: A work supervisor will have been identified on the basis of four broad characteristics: (1) skill in human relations, (2) ability to train, (3) potential for growth, (4) ability to meet program schedules and standards.

#### Objectives:

1. To provide the new supervisor or potential supervisor with the essential responsibilities that accompany his status as a supervisor, and focus attention upon the knowledge which he should possess or acquire to function effectively.
2. To provide him with the ability to adjust his thinking from his former status as a worker to that of a supervisor.
3. To provide him with suggestions and methods for fulfilling his newly acquired responsibilities.
4. To provide him with basic information as to what he ought *to be*, what he ought *to know*, and what he ought *to do* to satisfy the requirements of his supervisory position.

#### Subject Coverage:

1. The Coordinated Teamwork of Management—
  - a. The Forest Service and its organization.



- b. Lines of authority and communication.
  - c. The needs for and methods of accomplishing coordinated action—teamwork.
  - d. Controls—standards—inspections.
2. The Supervisor's Place in the Forest Service—
- a. Basis for selection.
  - b. Transition from worker to supervisor.
  - c. Responsibilities of a supervisor.
  - d. The tools of management and the services available to the supervisor.
3. The Job of Supervision—
- a. Why people work.
  - b. Dealing with people—how to handle human relations problems—job relations training.
  - c. Training workers—the supervisor as an instructor—job instruction training.
  - d. Effective discipline—preventive vs. corrective discipline.
  - e. Issuing orders and following up.
  - f. Budgeting time and action.
4. Interpreting Forest Service Policies—
- a. History of employee relations.
  - b. Grievance procedures.
  - c. Merit promotion program.
  - d. Hours and working conditions.
  - e. Overtime rules.
  - f. Rates of pay.
  - g. Policies: vacation, accident, illness, medically restricted personnel, time reports, reduction in force.
  - h. New employees.
  - i. Federal benefits plans.
5. Safety for Supervisors—
- a. The supervisor's responsibility for safety.
  - b. Potential safety hazards.
  - c. Safety appliances.
  - d. Safety demonstration.

#### Guidelines:

Location: District(s), Forest(s), Region(s), Station(s).

Methods: Individual on the job or group training—3-5 days.

#### References:

Forest Service Manual and Handbook.

R-6 booklet "Foremanship," Lindberg, 1950; W.F.

R-9 "Selling Forestry," 1959.

*The Forester on the Job*, McCulloch, Oregon State College Coop., Corvallis, Oregon, 1956.

"Guideposts for Supervisors," USDA, 1958.

Sample Case Studies.

"Supervisory Management," magazine published by American Management Association is a good source, and training libraries are too.

This training may be combined with professional indoctrination and basic communications in a 3-6 week training camp.

Use in-Service or out-Service instructors or facilities.

See other region or station outlines.

## Promotions

A continuing supply of well-qualified employees to meet future needs is essential. The Chief's staff and Washington office division directors, regional foresters and directors, forest supervisors, and research project leaders keep informed of developments which affect manpower needs, including program trends and normal attrition through retirements and resignations. Planned assignments provide training and development opportunities for employees to qualify for more responsible positions.

The policy is to promote qualified employees from within the organization when such employees are available. Promotions are a major factor in building a sound organization and career program. Through wise and effective use of promotion opportunities, competent employees are motivated and rewarded. Capable persons are provided satisfying careers with opportunity to attain their full potential.

Minimum qualification standards for positions in the competitive service are established by the Civil Service Commission. These standards define the kind and scope of experience, education, training, and physical requirements by class of work and grade of position. They are published in Civil Service Handbook X-118, Qualification Standards Governing Noncompetitive Actions and Agency Recruiting, appropriate Civil Service examination announcements, and probation examination specifications approved by the Commission.

Standards may be expanded when necessary to meet specific situations. Conditions vary from time to time for individual promotions. Supplemental standards, if necessary, are developed before the promotion certificate for the position is prepared. They are based on qualifications candidates need to succeed in specific assignments and include special aptitudes, knowledges, and skills. A complete file of all necessary standards is available in each office which establishes and maintains promotion rosters. Information is furnished to work supervisors, who advise each career employee of applicable requirements.

Rosters of eligibles for promotion are established or maintained as needed by the administrative office in each area of consideration for various positions. Employees who are covered by the plan and meet the minimum experience and education requirements for any of these positions are counseled by their work supervisors to develop information on their qualifications and availability for other assignments. Those employees

who are on military furlough or line-of-retreat assignments and not available for counseling are ranked and included on rosters of eligibles.

Promotion plans and actions are reviewed in each area of consideration at the time of each regular inspection of personnel management functions to determine whether promotions are being made in accordance with the plan; effectiveness of encouraging competent employees; need for amending or improving the plan; and other steps needed to insure better operation and understanding of the program by employees, supervisors, and management. The results of these reviews are included in regular inspection reports.

Placement followup is especially important during the first few months after assignment to a new position. Progress of each employee who is promoted is checked frequently by his supervisor, or line or personnel officer, to determine whether employee has been satisfactorily placed and to discover any areas in which special coaching and training are necessary.

In addition to participating in supplying information for carrying out the purposes of this plan, each career employee is informed of the requirements and procedures of this plan applicable to his particular area of consideration; advised of opportunities for promotion beyond those for which he is currently eligible; and encouraged to improve his qualifications to meet requirements for positions in his field through career development plans.

Career field charts have been developed for all classes of employees. Each employee or prospective employee can see his lines of opportunity in the Forest Service. The charts are broad and follow CSC job classification and qualification standards. Much remains to be done to provide a specific guide for each individual. For example, within the forester career field there are eight different specialties. In the forester, timber management specialty, the career field would be subdivided into nursery management, timber sale administration, planting, timber stand improvement, pest control, etc. Charts A through F give examples of career fields.

### Position Classification

The objectives of position classification are to provide a sound organization structure; provide equal pay for substantially equal work; avoid overlapping of duties and responsibilities; and provide clear lines of authority and responsibility.

The following is Forest Service policy on position classification:

1. Decentralize classification to the extent possible under authorities and limitations defined by the Director of Personnel, Department of Agriculture.

2. Have all unit supervisors take an active part in position classification through study

and application of classification requirements, objectives, principles, and techniques.

3. Assign to each unit supervisor the responsibility for informing his subordinates of the position-classification system and how it applies to the individual and to the unit organization. He also informs each employee of his appeal rights and advises him of the proper procedures for initiating action on appeals.

4. Furnish each employee with a copy of his job description at the time of his initial appointment and at each change in duties. Also, inform him that Civil Service Commission classification standards are available for many types of positions and may be reviewed upon request.

5. Analyze all positions with sufficient frequency to maintain proper classification and current descriptions of positions.

The position is intimately involved in many management processes. For example:

- a. In budgeting, funds for services are allotted for positions.

- b. Applicants for employment must show that they have minimum qualification requirements for the position.

- c. Recruitment is done for positions.

- d. Assignments of personnel are made to positions.

- e. Performance ratings record how well employees perform the work of their positions.

- f. Promotions, transfers, and demotions are made from positions to positions.

- g. Separations are made from positions.

- h. Reductions-in-force are caused by abolishing positions.

- i. Expansions-in-force are caused by adding positions.

- j. Reorganizations are accomplished by changing positions.

- k. Organization analysis involves the study of positions.

- l. Performance standards of quantity and quality of work are established for positions.

- m. Manpower utilization programs, designed to assure use of manpower to best advantage, involve study of positions.

- n. Pay rates are applied to positions.

In all the processes discussed above, management must constantly know with what types of positions it is dealing. When allocating funds for positions, management must know what types of positions are involved in order to know how much money to allocate. Examiners must know for what types of positions they are examining. Appointing officers must know to what types of positions appointments are to be made, and so on, throughout the complete list of processes.

In a small or simple organization, each representative of management could study the positions and learn what he needs to know about them from

# FORESTER CAREER FIELD — 460 SERIES

GRADE	1 WILDLIFE BIOLOGIST 486 *	2 RANGE CON. 454 *	3 FORESTER ADMIN.	4 FORESTER GENERAL **	5 FORESTER WS MGMT.	6 FORESTER LAND USES	7 FORESTER FIRE CONT.	8 FORESTER TBR. MGMT.		
16-17			3 4							
15	1	2	3 4	3 4	5	6	7	8		
14	1	2	3 4	3 4	5	6	7	8		
13	1	2	1 2 3 4	5 6 7 8	3 4	5 6 7 8	5	6	7	8
12	1	2	1 2 3 4	5 6 7 8	3 4	5 6 7 8	3 4	5 6 7 8	3 4	5 6 7 8
11	1	2	1 2 3 4	5 6 7 8	3 4	5 6 7 8	3 4	5 6 7 8	3 4	5 6 7 8
9	1	2	1 2 3 4	5 6 7 8	3 4	5 6 7 8	3 4	5 6 7 8	3 4	5 6 7 8
5-7 ↑	1	2		4 5 6 7 8						

APPROPRIATE  
CIVIL SERVICE  
EXAM \*\*\*

LEGEND: 1, 2 etc. Indicates eligibility for assignment in this specialty  
and grade if minimum qualification standards are met.

- \* As shown the wildlife biologist (486) and range conservationist (454) may qualify for the 460 Forester series in administration when they have demonstrated knowledge of the field and administration represents the primary duty assignment. (Soil Scientist, Engineer, and Geologist also eligible but not shown on this chart.) These non-foresters qualify only for the line (Forester-Administrative) positions. In staff they can be assigned only to their specialty.
- \*\* Persons in the Forester (general) specialty must develop competency commensurate with grade level and perform in two or more staff functions. All may qualify for Personnel management and some Business management fields through executive development plan.
- \*\*\* Interchange between Administration, S. & P. F. and Research at all levels is possible.

CHART A

# FORESTER STATE AND PRIVATE CAREER FIELD — 460 SERIES

GRADE	1 FORESTER GENERAL	2 FORESTER W. S. MANAGEMENT	3 FORESTER FIRE CONTROL	4 FORESTER TIMBER MANAGEMENT
16 - 17	1			
15	1      4 2      5 3      6	2	3	4
14	1      4 2      5 3      6	2	3	4
13	1      4 2      5 3      6	2	3	4
12	1      4 2      5 3      6	1      2	1      3	1      4
11	1      4 2      5 3      6	1      2      3      4      5      6	1      2      3      4      5      6	1      2      3      4      5      6
9	1      4 2      5 3      6	1      2      3      4      5      6	1      2      3      4      5      6	1      2      3      4      5      6

Normal Recruitment for all positions will be from NFA and Research.

LEGEND: 1, 2 etc., Indicates eligibility for assignment in this speciality and grade if minimum qualification standards are met.

CHART B

# FORESTER RESEARCH CAREER FIELD - 460 SERIES

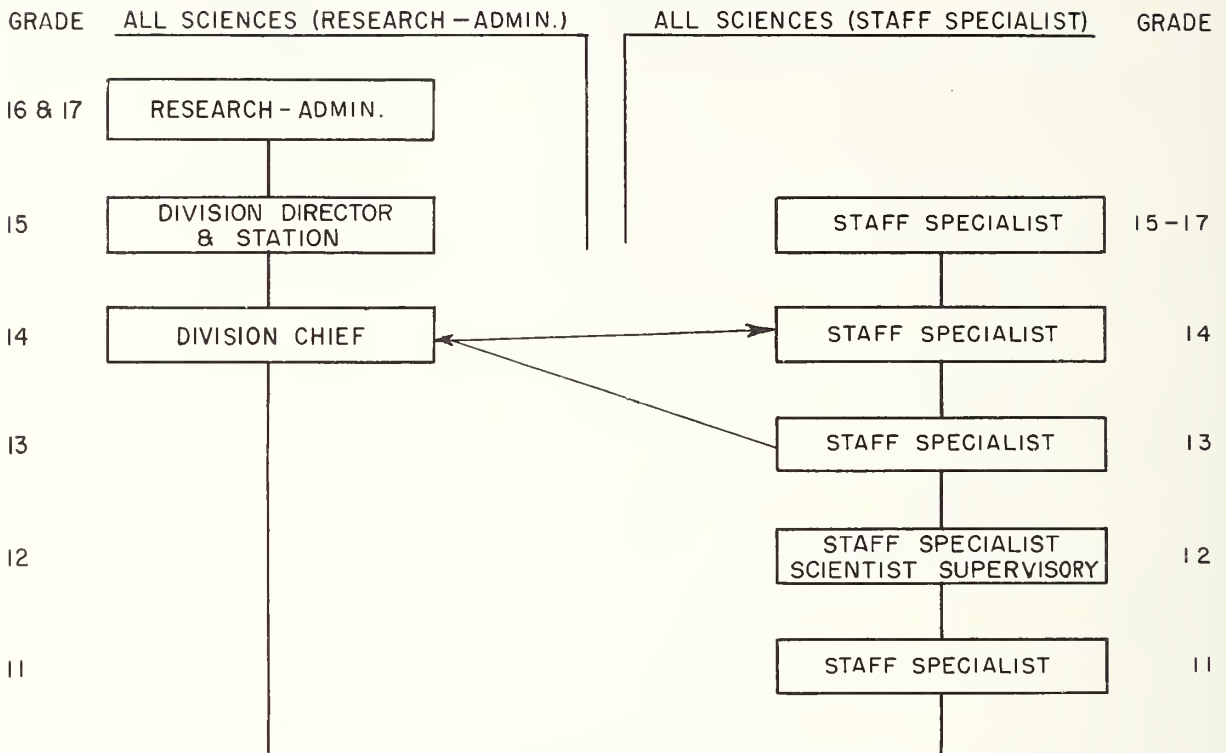
GRADE	1	2	3	4	5	6
	RESEARCH ADMIN.	GENERAL RESEARCH SPECIALIST	FOREST FIRE RESEARCH SPECIALIST	FOREST MANAGEMENT RESEARCH SPECIALIST	FOREST ECONOMICS RESEARCH SPECIALIST	WATERSHED MANAGEMENT RESEARCH SPECIALIST
16-17	1 4 2 5 3 6	2	3	4	5	6
15	1 4 2 5 3 6	2	3	4	5	6
14	1 4 2 5 3 6	2	3	4	5	6
13		1 2	1  3	1 4	1  5	1  6
12		1 2	1  3	1 4	1  5	1  6
11		1 4 2 5 3 6	1 4 2 5 3 6	1 4 2 5 3 6	1 4 2 5 3 6	1 4 2 5 3 6
5-7-9 ↑		4 2 5 3 6				

Recruitment into appropriate specialty from:  
 Forest Research Civil Service registers  
 Grades 7, 9, 11, 12.  
 Forester register Grades 5, 7  
 From NFA

LEGEND: 1, 2 etc., Indicates eligibility for assignment in this specialty and grade if minimum qualification standards are met.

CHART C

**CAREER FIELDS IN RESEARCH**  
**(BIOLOGICAL SCIENCES – 400 SERIES**  
**PHYSICAL SCIENCES – 1300 SERIES**  
**MATHEMATICAL STATISTICAL – 1530 SERIES)**  
**ENGINEER – 800 SERIES**



RECRUITMENT (RESEARCH) – GRADES 5, 7, 9, (11), (12)  
 (11), (12), POSSIBLE FOR PhDs

400 SERIES		1300 SERIES	
ENTOMOLOGIST	414	PHYSICIST	1310
BOTANIST	430	ELECTRONIC SCIENTIST	1312
PLANT TAXONOMIST	433	GEOPHYSICIST	1313
PLANT PATHOLOGIST	434	CHEMIST	1320
PLANT PHYSIOLOGIST	435	METALLURGIST	1321
GENETICIST	440	METEOROLOGIST	1340
RANGE CONSERVATIONIST	454	GEOLOGIST	1350
SOIL SCIENTIST	470	FOREST PRODUCTS	
WILDLIFE BIOLOGIST	486	TECHNOLOGIST	1390
NEMATOLOGIST	415	* GENERAL ENGINEER (Research)	801
BACTERIOLOGIST	420		
MYCOLOGIST	431		

1500 SERIES  
 MATHEMATICAL STATISTICAL 1530

RECRUITMENT FROM CIVIL SERVICE REGISTERS AND NFA

\* Engineers may be eligible for interchange between Research and NFA.

CHART D

# ENGINEERING CAREER FIELD - SERIES 800 & 1370

GRADE	1 GENERAL ENG. 801	2 CIVIL ENG.* 810	3 HYD. ENG. 813	4 HWY. ENG. 820	5 BRIDGE ENG. 824	6 STRUCT. ENG. 812	7 CART. OGRAPHER 1370	8 MECH. ENG. 830	9 ELECT. ENG. 855	10 ARCH. ENG. 808
15	1 2									
14	1 2	1 2					7	8	9	10
13	1 2	1 2	3	4	5	6	7	8	9	10
12	1 4 7 2 5 3 6	1 4 7 2 5 3 6	3	4	5	6	7	8	9	10
11	1 4 7 2 5 3 6	1 4 7 2 5 3 6	1 4 7 2 5 3 6	1 4 7 2 5 3 6	1 4 7 2 5 3 6	1 4 7 2 5 3 6	1 4 7 2 5 3 6	8	9	10
9		4 7 2 5 3 6	4 7 2 5 3 6	4 7 2 5 3 6	4 7 2 5 3 6	4 7 2 5 3 6	4 7 2 5 3 6	8	9	10
5-7		2	3	4	5	6	7	8	9	10

Normal recruitment at grades 5,7 and 9 from appropriate CSC register. Outside recruitment of grades 11, and 12 is possible in all specialties except 801 and 810.

Professional Engineers who are qualified for administration work may be classified as foresters (adm.) 460 series for line positions.

- \* Civil Engineering has responsibilities in at least two engineering specialties. Engineers may be eligible for interchange between Research and Admin.
  - \*\* Assignment in professional engineering series permitted only on meeting educational requirements, passing equivalency test or holding a state engineering license.
- 8 9 and 10 can move to other specialties by special training assignment until CSC XII B standards are met.

LEGEND: [1], [2] etc., indicates eligibility for assignment in this specialty and grade if minimum qualification standards are met.

CHART E

# BUSINESS MANAGEMENT CAREER FIELD

SERIES  
341-510-303  
(301) 560-1102

GRADE	1 ACCOUNTANT AUDITOR 510 *	2 ADMINISTRATIVE OFFICER 341-301	3 CONTRACT AND PROCUREMENT 1102	4 BUDGET OFFICER AND ANALYST 560	5 MANAGEMENT ANALYST 303
15	1	2		4	5
14	1	2	3	4	5
13	1	2	3	4	5
12	1	2	3	4	5
11	1	1 4 2 3 5	1 4 2 3 5	1 4 2 3 5	1 4 2 3 5
9	1	1 4 2 3 5	1 4 2 3 5	1 4 2 3 5	1 4 2 3 5
5-7	1	1 4 2 3 5	1 4 2 3 5	1 4 2 3 5	1 4 2 3 5

Recruitment into appropriate specialty from:

Federal Service Entrance Exam Grades 5 & 7.  
Other professional disciplines by Executive development agreement except 510 series.

Non-College people in top clerical jobs have opportunity in most of these business management fields.

\* Entry into 510 series possible if minimum qualification standards for appropriate level is met.

LEGEND: 1 2 ETC. Indicates eligibility for assignment in this specialty and grade if minimum qualification standards are met.

All may qualify for personnel management fields under Executive development plan.

CHART F



first-hand observation. In a large and complex organization, that approach is impractical. To meet the organizational problems arising from its size, complexity, and geographical dispersion, the Forest Service must identify its positions by titles and grades.

The need for fair and consistent treatment of each employee with respect to his pay is one of the chief reasons why Service positions must be classified. Such treatment is difficult to obtain. In a large and complex organization, it is impossible to obtain it without a sound system of position classification.

### **Classification Responsibilities and Delegation of Authority**

The Secretary of Agriculture, through the Director of Personnel, has delegated authority to classify positions to the Chief of the Forest Service, who is authorized to redelegate it to incumbents of designated positions.

The planning of an organization involves the assignment of duties to individual positions, the relationship of the positions to one another, the flow of work through positions, and the number of positions required to accomplish the work of the organization. Classification is concerned with evaluating the individual duties and responsibilities and their relation to each other. Each proposed classification action cannot be considered as an isolated case, but must be studied in the light of its effect upon the organization structure and other positions in it.

The classification staff is represented in all planning conferences involving significant changes in organization, reassignment of functions, and realignment of the duties of positions. Such proposals are discussed and decisions reached on all these organizational matters, including probable grades of positions, before classification actions are proposed. Only in this manner does the unit realize the full value and contributions that classification has to offer.

### **Personnel Controls**

#### ***Performance Evaluation***

The Forest Service is judged by its public service achievements. Those responsible for planning and supervising work programs must know the skills and abilities that need to be applied in the performance of work if desired results are to be obtained. They must be alert to the characteristics of personnel under their direction. The workers, including those who are leading in accomplishment, must be encouraged, motivated, and trained to do better. These requirements are fundamental to good administration. Performance ratings provide a means of evaluation that can be applied impartially, objectively, and constructively.

Execution of a performance evaluation plan requires that supervisory personnel apply to it the same knowledge they use in administration and supervision—a knowledge of the work to be done, the way it should be done, and the way it is being done by each employee directly or indirectly supervised.

The purpose of the system and of the evaluation plan is to improve administration and thereby increase the efficiency and effectiveness of the work. Plans are as simple as possible and provide that proper performance requirements be developed and made known to all employees; performance be fairly appraised in relation to such requirements; appraisals used to improve the effectiveness of employees' performance; work supervisor-employee relationships strengthened; and each employee kept currently advised of his performance and receive prompt notification of rating.

Each performance evaluation plan provides for ratings of satisfactory, outstanding, or unsatisfactory. An outstanding rating requires approval of someone other than the rating officer and must be fully documented and justified. Unsatisfactory ratings require 90 days prior warning to the employee and reasonable opportunity for him to demonstrate satisfactory performance.

Performance requirements are in writing. Written performance requirements provide the basis for reaching a common understanding by both the work supervisor and employees as to what constitutes satisfactory performance for each task. Through this common understanding, working relationships are improved. Each employee needs to know, and has a right to know, what is expected of him. An employee should know what his work supervisor regards as satisfactory work in terms of quantity and quality—a requirement by which he, himself, may check his own effectiveness. Performance requirements provide these basic needs.

As requirements differ for different jobs, performance requirements will vary and require the use of numerous combinations of rating elements. Work supervisors develop performance requirements for each position under their supervision. The actual development is a joint effort between the work supervisor and the incumbent. The requirements are reviewed by others to obtain uniformity within the organization.

A system of appropriate cash and honorary awards has been developed to officially recognize individual employees or groups of employees who contribute significantly to improving the efficiency of operations. Recommendations for such recognition are made by the work supervisor and approved by awards committees at the region, station, or Washington office level.

#### ***Rules of Conduct***

Employees must set and maintain a high standard of personal conduct and integrity. They must conduct themselves in a manner that will not

cause embarrassment to, or criticism of, the Forest Service or interfere with the efficient performance of their duties. Employees whose duties require the enforcement of laws or regulations, or who are in a position to award or influence the award of business or to take or influence the taking of any other official action which may affect favorably or unfavorably any person, firm, or corporation, are not permitted to accept from any such person, firm, or corporation any favor, gift, loan, unusual discount, gratuitous service, entertainment, or other thing of value. Acceptance of courtesies commonly extended, such as luncheon or dinner, is not intended to be prohibited; however, before accepting even such a courtesy, employees must satisfy themselves that it would not result in embarrassment to the Service or to themselves.

No employee may give or use information acquired by means of his official position to advance the interests of himself, his family, his business associates, or his personal friends over those of other persons.

The Forest Service must be in a position to stand the brightest glare of public scrutiny and criticism at any time. Employees are required to conduct themselves in such a manner that their actions are not detrimental to the reputation and integrity of the Service.

### ***Outside Activities Conflicting With Official Interests***

A continuing problem of a free country is the maintenance among its public servants of moral and ethical standards which warrant the confidence of the people. The people are entitled to expect high standards from their public servants. There must be no real or apparent conflict between private interests and the public duty of Service employees.

Employees are expected to take part in local affairs and interests, as do other citizens, and to assume leadership in activities that tend toward the advancement of forestry, insofar as these are compatible with their official duties and Department regulations. Every employee participating in such activities makes certain, especially before accepting offices or other important posts, that the organization does not advocate matters which are controversial to Forest Service policy.

Employees are encouraged to join service clubs. Before they accept an office in such an organization, employees are advised to weigh carefully all factors involved in accepting such a position, inasmuch as their dual capacity could, at times, cause embarrassment to the club, or to the Forest Service. In case of doubt, the employee asks the advice of his work supervisor.

The law provides that employees may organize. The Department encourages the formation of employee associations insofar as laws and regulations permit, and will assist in their activities. Associations are open to all employees for their

benefit and not for the benefit of an individual or special groups.

Unless forbidden by law, every employee has the right to join or refrain from joining any organization or association of employees. In the exercise of this right, the employee is free from all restraint, interference, and coercion. Recognition of this right is not to be construed as recognition of the right of an employee to strike.

The objectives in handling disciplinary matters include protection of the interests of the Forest Service; rehabilitation of the employees where possible; and elimination of unsatisfactory or substandard employees.

Disciplinary actions are sometimes confidential and sometimes publicized. It is usually desirable for someone in authority to notify others in the unit concerned of the action taken. In other cases, the major objectives are best fulfilled by circularizing the facts within the Forest Service. Sometimes, in the interest of public relations, action taken by the Service should become public information.

Employees are privileged to express their grievances without fear of reprisal. A grievance procedure designed to provide equity under all circumstances is available to each employee. In addition, employees may appeal alleged discriminatory practices to adjudication officials outside the Forest Service. The objective is to respect individual feelings and maintain a working environment that will make grievances and appeals unnecessary.

### **Safety**

An adequate safety program reaching from the Chief's office through the regions, stations, National Forests, ranger districts, and research installations, has been developed and maintained to insure:

1. Elimination of hazards before they cause accidents.
2. Protection of the lives and physical well-being of the employees.
3. Greater efficiency of work by holding the number of accidents to a minimum.
4. The lowest possible compensation cost.
5. The protection of public property.
6. The protection of lives, physical well-being, and property of National Forest users.
7. High standards of physical fitness for workers on all jobs.

Each work supervisor is supplied with a copy of the Forest Service Health and Safety Code, or that portion which pertains to his work. Before work supervisors begin projects, administrative officers take sufficient time to instruct them in applicable Health and Safety Code requirements to be sure that these are understood and carried out. Employees who work more or less alone, such as fire control aids, truck drivers, and timber

cruisers, are instructed in, and given copies of those sections of the code which apply to their work.

### **Employee Relations and Welfare**

The employee relations and welfare objective is to develop an organization of employees who are

efficient in, dedicated to, and satisfied with their work.

The Forest Service enhances the feeling of belonging and facilitates identification of employees by means of a standard uniform and identification badge. These are worn when employees are engaged in activities involving official relationships with users of National Forest resources.

## Chapter 9

# Office Management

The primary objectives of office management are to organize, direct, and coordinate the efforts of the office force under a system of prescribed policies and methods of operation; provide that the entire production of the office organization is directed to best serve the needs of the program managers and employees responsible for management services; and aid in the performance of more effective work by (a) providing timely and accurate information, (b) providing facilitating office services, and (c) relieving program managers, to the fullest extent practicable, of routine tasks and paperwork requirements.

Service policies on office management include:

1. Application of progressive office management work planning and supervisory methods.

2. An adequately manned and trained office organization to meet increasing workload requirements.

3. Use of modern equipment to the fullest extent practicable to increase efficiency and relieve employees of monotonous and routine tasks which can be more efficiently and economically performed by machines.

4. Continuous orientation and motivation of employees to increase efficiency and interest in their work and services to others.

5. Maintaining alertness to the need for increased and progressive office services to program managers and employees responsible for management service.

### Records Management

The broad administrative management program of the Forest Service includes records management along with the familiar fields of personnel, budget, fiscal, procurement, and property. Records management in Government, in a professional sense, is a much newer concept and technique of management and is currently in the process of development.

The memory of an office is in its paperwork and records. Records management, therefore, must supplement the other management fields through the establishment and maintenance of adequate records in order to contribute to maximum effectiveness and economy in Forest Service activities.

The direction which this emerging program takes and its ultimate effectiveness in controlling the creation, current use, and systematic disposi-

tion of paperwork depend, to a large extent, on the understanding and support the program receives from top management in each organizational unit. This management must be fully aware of the need for the control of paperwork processes from creation to disposition, as well as the benefits that can ensue from the efforts of competent records management personnel working with those in their own management field.

Adequate control requires a continuous reevaluation and modernization of paperwork processes in all offices, and includes the evaluation of attitude toward and interest in paperwork management by all employees. All employees must understand that the paperwork process is an integral part of the total operation and its techniques and methods can be used to control the volume and quality of paperwork for increased efficiency.

The Forest Service records management system has been developed to attain the following major objectives:

1. Provide maximum service to the public and improve in-Service correspondence and directives through the medium of well-prepared paperwork. This results in better satisfied correspondents and fewer requests for clarification of correspondence or directives.

2. Process all phases of paperwork in an efficient and effective manner in order to adequately meet current operational needs and expanding program responsibilities, including technological advancement in the record creation processes.

3. Ensure adequate documentation of important policies, decisions, procedures, essential transactions, and informational data to satisfy administrative, legal, and research requirements of the Forest Service and the rights of persons directly affected.

4. Provide that records of continuing value are preserved and that records no longer of current use are systematically disposed of or retired in accordance with laws and regulations.

The following policies apply to the records management system:

1. Develop and use modern work techniques, systems, and periodic reviews. Receive the maximum advantages from mechanization and technological advancement in the management of paperwork processes from creation to disposition.

2. Adhere to the principles of simplified writing in preparing correspondence, directives, and reports.

3. Provide qualified staff leadership and technical assistance to effect the establishment and maintenance of an active and continuous records-management program under up-to-date methods and uniform standards.

4. Retain records created or received by the Forest Service in pursuance of Federal law, or in connection with the transaction of public business. These are the property of the Government and are not removed from the custody of the Forest Service, destroyed, or otherwise disposed of until proper authority is obtained and established procedures are followed.

The Chief is responsible for establishing and maintaining an adequate records-management program as an integral part of the management function. Such a program must provide for effective control over the creation, organization, maintenance, use, and disposition of all Forest Service records; collaboration with the Department in developing and applying standards, procedures, and techniques designed to (a) improve the management of records, (b) assure the maintenance and security of records of continuing value, (c) facilitate the disposal of all records of temporary value; and compliance with the Federal Records Act of 1950 and any regulations issued thereunder.

The Washington office maintains liaison between the Forest Service, Department of Agriculture, and General Services Administration. It develops, installs, and maintains policies, standards, procedures, techniques, systems, and methods that will assure an effective and economical balance between two managerial requirements; namely, (a) assuring adequate documentation of functions, policies, decisions, procedures, and essential transactions; and (b) making certain that all recorded material of a permanent or temporary nature is kept to a minimum consistent with operational requirements. The Washington office also establishes and continues review of clearly defined processes through which communications flow, and schedules that flow from the time communications are received in an agency or office until they are no longer needed for active reference. Further, it develops and installs methods, policies, and procedures whereby the Forest Service, through adequate planning, controls the systematic retention, transfer, and disposal of its records.

In the field offices regional foresters, experiment station directors, forest supervisors, research project leaders, and district rangers all have operational responsibilities for the control over paperwork creation, current maintenance, and the preservation of records in their custody.

Most records of the Forest Service are public records and are therefore available to the public for inspection. However, in some cases, legal restrictions prohibit the Forest Service from making

records available for public use. In other instances, where open inspection of the records would be harmful to the public interest, the policy is similarly restrictive. If an employee does not know the policy on the release of any record, the matter is submitted to the head of the organizational unit responsible for proper custody of the record.

## **Correspondence and Other Written Media**

The Forest Service must maintain adequate controls over paperwork creation in order to cope with expanding program responsibilities. Control over the quality and quantity of created paperwork directly affects the cost of personnel and storage requirements and materially influences the overall effectiveness of an organization. Progressive refinements in reporting requirements and technological advances in machines and reproduction equipment can create more and more paperwork to aggravate the problem unless creation is systematically controlled.

The organization of each office and the job responsibilities of each employee contain the general authorities required to create correspondence and other written media. Such authority is limited to essential paperwork necessary in the conduct of business. Special creative work leading to the publication of bulletins and similar media of information is approved in advance by the superior officer.

All staff officers understand their responsibility for preparing adequate correspondence material in consultation with other staff officers who share a functional responsibility in the work, and also understand the limitations imposed by Forest Service policy pertaining to the clearance, approval, and signing of correspondence and other written media.

Proper clearance is obtained on all outgoing correspondence from other divisions and staff officers sharing a functional responsibility in the reply. The team approach is used in formulating all directives, correspondence, and other written media that involve policies or actions beyond the limits of routine divisional matters.

## **Records Maintenance and Storage**

The day-to-day activities of the Forest Service cover a wide variety of functions and programs that have resulted in the creation and accumulation of many different kinds of records. These records must be properly maintained in compliance with the Federal Records Act of 1950 if the functions of the organization are to be effectively and efficiently performed.

Each organizational unit is responsible for adequate maintenance control over current records so that they will be readily available when required. The need for such controls exists from the time records are created or received until their final disposition.

Proper maintenance requires a continuous analysis and improvement of such operations as mail handling and routing, record classification and index filing systems, the use of filing equipment and supplies, the reproduction of records, and the development of work-production standards to ensure that records are maintained economically and efficiently and their maximum usefulness is obtained.

### **Records Disposition**

All Federal agencies are required by the Federal Records Act of 1950 to establish and maintain an active records disposition program. The Forest Service program provides for the preservation of all records needed to adequately and properly document the organization, its functions, policies, decisions, procedures, and essential transactions. It also provides that all other records no longer of use to the Forest Service be promptly disposed of in accordance with approved schedules.

Such disposition can be accomplished by destroying or disposing of temporary records, or by moving them from expensive office space and equipment into the more economical storage of Federal records centers until their authorized life terms are completed. Proper disposition of inactive records avoids the increase in records storage space requirements, and provides opportunities for saving both time and space.

Records control schedules provide one of the most effective management techniques in record control. They offer a simple means of proper disposition periodically by segregating perma-

nently valuable records from those of a temporary value.

The Records Disposal Act prescribes that no record of the United States Government shall be alienated or destroyed except in accordance with the provisions of the act and the regulations issued by the Administrator of the General Services Administration. It is the responsibility of all persons dealing with records to ensure that they are safeguarded and disposed of strictly in accordance with the GSA regulations.

No records created or received (not provided for on disposition schedules) in pursuance of Federal law or in connection with the transaction of public business may be removed from custody, destroyed, or otherwise disposed of without obtaining proper authority through the Washington office.

### **Facilitating Services**

Proper installation and organization of facilitating office services materially contribute to the efficiency of an office. They constitute a definite segment of an office organization and provide communication and other services required to serve a smoothly operating office. Sustained high office productivity requires capable handling of telephone calls, intelligent reception of visitors, reliable messenger service, efficient stenographic service, efficient duplication work, satisfactory internal communication, and adequate office supplies. These services must be provided if the office is to function efficiently.

## Chapter 10

# Procurement Management

The objectives of the Forest Service procurement organization are to support the work programs of the Service with suitable equipment, services, and supplies at the least cost to the job; and provide leadership and give assistance in obtaining efficient management of procurement programs and activities.

Supply and procurement officers are informed fully of planned work programs, and participate in the development of specifications and other preliminary planning which affect contracting and purchasing. The regional foresters and directors establish procedures whereby program personnel notify procurement officers of equipment and supply needs sufficiently in advance to enable orderly procurement and delivery. Such procedures also require each National Forest and research installation to develop and use a unit service-of-supply plan that is adapted to local and current conditions.

### Determination of Needs

Materials and supplies required for work operations are determined and listed in advance of needs. Determination is made on the basis of analyses of approved work plans and operating plans for recurrent and scheduled nonrecurrent work set up for the year or other specified planned period, and start at the ranger district or research unit level. It involves taking inventory at the beginning of the work planning period, or periodically, of the jobs to be done, the supplies needed and when, and the supplies already on hand. Each officer responsible for preparing requisitions for items to be purchased sets up and maintains a want list on which to enter needs as they currently arise or are foreseen. At scheduled periods these needs are included in one requisition.

### Filling Supply Needs

1. *Excess Lists.*—Prior to purchase of new items, consideration is given to use of stocks on hand on each operating unit, including items available from excess lists. For example, ranger district needs are integrated by the forest property management officer, and excess items on one district transferred to districts that need them. Where feasible, forests' needs similarly are integrated at the regional level.

2. *Mandatory Sources of Supply.*—Proper regard is given to use of mandatory supply sources.

Periodic requisitions are submitted to these sources to keep such requisitions to the minimum and to reduce overhead and transportation charges.

3. *Consolidated Purchase.*—Where feasible, requisitions for new purchases are consolidated. However, stocking in excess of needs to effect unit cost savings by centralized consolidated buying is not encouraged. The following criteria are considered in determining if an item can be supplied most advantageously through consolidated purchase for direct delivery to points of use:

a. Items are such that it is feasible to forecast requirements for delivery to specific points.

b. Any of the following conditions favors consolidated purchasing—

(1) The greatest price advantage, with direct and indirect costs considered, is obtainable through large quantity purchases.

(2) An item is of special manufacture or design, and not readily available from commercial sources.

(3) Market conditions are such that consolidated purchase is required to insure adequate supply.

(4) Contracts for large quantities are necessary to obtain timely deliveries or advantageous prices.

(5) The quantity is large enough to insure lowest transportation costs.

4. *Local Purchase.*—The following criteria are considered in determining that an item be supplied through local purchase:

a. Urgency of need requires local purchase to insure prompt delivery.

b. Items are perishable or subject to rapid deterioration which will not permit delay incident to shipment from a distant point.

c. Local purchase is the most economical method. While it is the established policy to buy from Federal Supply Service stores the articles listed in Stores Stock Catalog as mandatory, small purchases may be made from other sources when more practical and economical.

5. *Supply Through Storage and Issue (Warehousing).*—Only those items are stocked for storage and issue that are needed to conduct the current annual work program. The following criteria govern in determining if an item can be supplied most advantageously through storage and issue to use points:

a. Items are physically adaptable to storage and issue, and of such character that it is feasi-

ble to forecast overall requirements with reasonable accuracy.

b. Rate of use and frequency of ordering are sufficient to justify storage and issue.

c. Rate of deterioration or obsolescence is sufficiently low to avoid unnecessary loss.

d. Supply through storage and issue is required by any of the following factors:

(1) Price advantage through bulk buying makes storage and issue the most economical procurement method, all direct and indirect costs considered.

(2) Advance purchase and storage are compelled by long procurement lead time.

(3) An item is of special design or manufacture and not readily available from commercial sources.

(4) There is no industrial distribution system that assures availability at use point.

(5) Volume purchases are necessary to obtain timely deliveries and advantageous prices.

(6) Market conditions are such that adequate supply is assured only through storage and issue.

(7) Stocking of supplies and materials needed to support emergency plans is required for an indefinite period.

6. *Unit Service of Supply Plans.*—A written plan is developed by each National Forest and research installation to outline briefly and simply the amounts of delegated authorities; where to obtain various classes of property; schedules for submitting requisitions; who can buy; what and how much to maintain in cupboard stocks and at sites of work; and related matters. It serves as a useful guide and training tool for field personnel, results in better understanding of the supply system by all forest employees concerned, and minimizes mistakes and irregularities.

7. *Guidelines.*—Delegated purchasing and contracting authorities aid in the efficient conduct of work program. To redeem delegated responsibilities, every procurement transaction must:

a. Be determined as falling within the limits of the assigned purchasing or contracting authority.

b. Be checked to insure that funds are legally available and that there are no legal or administrative restrictions against their use.

c. Meet fiscal regulations as well as policies and procedures set forth in the Manual and Handbook, including current revisions.

d. Meet job requirements consistent with the established principle of obtaining the most for each dollar expended.

8. *Purchasing and Contracting Duties.*—Persons assigned purchasing and contracting duties are required to:

a. Provide the highest possible service at lowest possible cost.

b. Assist subordinate field offices with local purchasing and contracting problems through expert advice and friendly suggestions.

c. Maintain friendly relations with vendors, building good will by fair and ethical dealing, but keeping free of entangling personal alliances with vendors to permit utmost freedom of action and unbiased decisions in official matters.

d. Cooperate fully with all divisions and units of the Service in the preparation and improvement of specifications and in adequate inspection.

e. Keep in touch with markets, prices, and sources of supply, and develop better supply sources where possible.

## Regions and Stations

Each regional forester and director establishes an organization to perform the administrative services functions for his unit. Because of the close relationships between procurement, property, space, and records activities, and the need for their full integration, these functions, as well as messenger, duplicating, and related administrative services, are usually assigned to one office.

## National Forests, Research Centers, and Other Field Units

Decentralized procurement, with proper safeguards and limitations, is recognized as desirable to facilitate field project work. It is essential in fire and other emergencies.

The regional forester and station director establish general policies governing local purchasing. The extent of such local purchasing depends upon adequacy of local supply sources, time lag in obtaining from central supply sources, urgency of need, quality of goods, price comparisons, competence of local Service personnel to make satisfactory procurement, and related factors.

Forests take full advantage of consolidated or central purchasing whenever available and to best advantage. Stores items listed in the Federal Supply Service Catalog are ordered from appropriate Federal Supply Service Stores.

Contracts and agreements covering field procurements are handled at local levels to the extent of delegated authorities. Because complicated legal, fiscal, and administrative restrictions surround many procurement transactions, the policy is not to delegate formal contracting authority to rangers and project supervisors. The latter may be authorized to make local open-market purchases under specific written instructions of the forest supervisor when good administration or fire or other emergencies justify such delegation. Rangers' offices should not be burdened with the clerical work involved in bid solicitation.



## Contracting

In the Forest Service many contracting problems are created as a result of the broad responsibilities, wide geographic distribution, great diversity of work programs, and need for flexibility in program changes.

Contracting is a recognized business method of obtaining products and services from private sources. The general policy of the Government is that no commercial activity will be started or carried on to provide a service or product for its own use if such product or service can be obtained from private enterprise through ordinary business channels. Exceptions are made only by the head of an agency. This policy governs the determination of whether force account or contracting should be used.

The execution and performance of formal contracts for expenditure of Federal funds are governed by specific laws and regulations. A contract, after being signed, is a legal document, binding on both the Government and the contractor. Neither party can assume rights or authorities not specifically provided for in the contract. Standard Form 32, General Provisions (Supply), and Standard Form 23A, General Provisions (Construction), cite Government-wide mandatory contract requirements.

Adequate inspection of supply, service, and construction contracts is made to insure contractor compliance. The contracting officer, by delegated authority, is responsible for overall contract administration. His designated representative is his agent for on-site administration of a contract. Contracting officers need to make periodic on-site inspections of contract performance, at the same time determining the adequacy of contract administration by designated representatives.

Contracting authority is the authorization to solicit bids, make awards, and sign and administer procurement contracts and agreements within the delegated limitations. Necessary contracting authority may be obtained by the Chief from the Department Director of Plant and Operations and, with the latter's concurrence, such authority may be delegated directly to responsible individual positions. Contracting authority for road and trail construction is not delegated to anyone in a position lower than GS-11.

Delegations to the Washington office and a sample region are shown below. Incumbents of positions at the listed locations have been delegated the various authorities indicated. Contracts are not entered into by them when amounts exceed or may exceed these limitations. The delegations include any person properly acting for the incumbent of the position.

Position	Contracting		
	Construction of roads and trails, including bridges	Construction work other than roads, trails, and bridges	Procurement of supplies, equipment and services
<i>Washington Office</i>			
Director, Division of Administrative Services Chief, Procurement Management Branch.	Unlimited	\$500, 000	\$500, 000
<i>Region 1</i>			
Missoula, Montana Regional Administrative Services Officer and Assistant Regional Administrative Services Officer; Chief, Division of Operation.	Unlimited	250, 000	50, 000
Forest Supervisor and Administrative Officer at:			
Idaho:			
Coeur d'Alene		2, 000	2, 500
Grangeville		2, 000	2, 500
Orofino		2, 000	2, 500
St. Maries		2, 000	2, 500
Sandpoint		2, 000	2, 500
Montana:			
Billings		2, 000	2, 500
Bozeman		2, 000	2, 500
Butte		2, 000	2, 500
Dillon		2, 000	2, 500
Great Falls		2, 000	2, 500
Hamilton		2, 000	2, 500
Helena		2, 000	2, 500
Kalispell		2, 000	2, 500
Libby		2, 000	2, 500
Washington:			
Colville		2, 000	2, 500

## Responsibilities and Relationships

Contracting for supplies, services, and construction is a large and complex job. Expanding programs extend responsibilities in this field. Contracting activities are decentralized as much as possible to redeem increasing responsibilities and to give the field a maximum degree of flexibility.

To fully safeguard the interests of the United States in efficient, economical contracting and adequate contractor performance requires that only personnel having suitable qualifications and experience be granted authority to perform contracting duties. Training is instituted and vigorously carried on to obtain competence, proficiency, and understanding in the entire contracting field by personnel at all levels.

Determining whether or not a work project will be performed by contract or force account is the responsibility of program personnel and the contracting officer. Contracting is not an easy way to accomplish work projects in every case. Successful contracting requires at least as much planning and supervision as does force account work. On the other hand, contracting may mean more acceptable work and better assurance of prompt completion, because quality and progress are less susceptible to interference from local administrative emergencies.

Preliminary planning for contracting is little different from force account. The program unit is responsible for site locations, ownership, easements and rights-of-way, access to area, preparation of general project plans, availability of funds, and availability of personnel qualified to provide effective on-site contract administration as the contracting officer's designated representative. The contracting officer supplies upon request estimated contract price based on previous bids; list of interested bidders; information regarding market availability of specific materials required; new products and equipment; possible combinations of work

preferred by contractors; amount of on-site administration required; the qualifications required of persons to serve as his designated representatives; etc.

To the greatest extent practicable, regional administrative services officers delegate to forest supervisors' offices the responsibility for doing the detailed jobs incident to formal contracting of construction and other work projects on forests.

## Responsibilities of Program Personnel

Forests prepare technical specifications and drawings to be included in forest-issued invitations to bid. For invitations to bid issued by a region, the technical specifications and drawings are prepared by the program division or forest depending on where the responsibility rests. Such specifications and drawings are reviewed by program supervisors for technical deficiencies which may have been overlooked by the drafters before submitting them to the procurement office. Specification defects are one of the primary causes of disputes and appeals; hence, the need for careful preparation and review of specifications. The procurement office reviews the specifications from the standpoint of clarity; completeness; restrictiveness in language (but not the technical details); and compliance with applicable laws, regulations, and Comptroller General and court decisions; and collaborates with program personnel in making needed corrections before incorporating them in bid invitations. The administrative regulations of the Department make it clear that the contracting officer is finally accountable for the adequacy of specifications incorporated in contract documents.

While authority for administration of construction or service (work project type) contracts is vested in the contracting officer, the basic work program responsibility continues to be vested in the line officers, such as forest supervisors.

# Property Management

### Personal Property Management

Personal property is property of any kind, both accountable and expendable, except land, improvements, or fixtures attached to improvements.

Excess personal property is any such property under the control of any Federal agency which is not required for its needs and the discharge of its responsibilities as determined by the head of such agency. Property no longer needed by the agency is excess only if it cannot be used advantageously. Materials and component parts may be salvaged without declaring property excess, but only for foreseeable needs.

Surplus personal property is any such excess property not required for the needs and the discharge of responsibilities of all Federal agencies as determined by the Administrator of the General Services Administration, or the holding agency under authority delegated by the Administrator.

Personal property is managed in accordance with the provisions of the Federal Property and Administrative Services Act of 1949, and regulations of the General Services Administration, the Secretary of Agriculture, and the Chief of the Forest Service. This Act has been published by the General Services Administration. It is available in pamphlet form from the Superintendent of Documents, Government Printing Office, Washington 25, D.C. It is therefore not included here. Specific statutes applicable to single phases of property management activities, such as the law pertaining to sale or exchange of animals or animal products, are covered in handbook references.

A Forest Service objective is maximum use of all property under its control. Full utilization of Government property is a basic responsibility of every administrator in the Government. Forest Service property is not held to meet the needs of contemplated programs or activities unless they are already authorized and funds are available.

The policy is to manage property efficiently so that it is fully utilized in the best interest of the Government as a whole. Statutes permitting loan and transfer of property are given maximum application to achieve this purpose. The Chief has established controls and performance standards which include quantitative and dollar record controls of nonexpendable property and inventory levels. These are designed to provide an economical and efficient system for acquisition, use, maintenance, protection, and disposal of property.

Each employee is held responsible for the proper use and protection of any property that may come into his custody or control. If he receives accountable personal property from any source, he is required to receipt for it on the appropriate form. No receipt is signed until its correctness has been verified or until articles have been actually received by, or placed at the disposal of, the receiving officer. The fact that these precautions were not taken does not relieve the employee of responsibility should a discrepancy be discovered later.

Except in emergencies threatening loss of life or property, or when authorized by law, Government property is not used for any purpose other than in the performance of official Department work. No employee may appropriate for personal use any article of Government property that has been ordered abandoned or destroyed.

When it is necessary to assign custodial responsibility by location or units, the property management officer assigns such responsibility in writing to a specific officer.

### Stores and Cupboard Stock Management

Central supply stores are operated primarily to provide special types of supplies and services to National Forests and other using units. They do not include regional or area fire caches.

The many services rendered by Forest Service central supply stores place them in a separate category from Federal Supply Service stores, which stock and sell common-use items to Government agencies. Central supply stores are financed through the Working Capital Fund and are not operated for profit, but rather to bring about economies in buying and to render services needed by the field in support of regular and emergency work programs. All items carried in stock are sold at cost.

Cupboard stock facilities are maintained on National Forests and at other field locations to maintain stocks of equipment and supplies for current program needs.

The regional administrative services officer is responsible for controlling stores stock activities so as to maintain adequate stocks and avoid dead stocks and excessive investment. He must review work programs, future as well as past, as changes in work programs frequently affect demands for supplies and equipment.

He must take vigorous action to stop all leaks

in operating costs and keep overhead to the minimum consistent with good business management and the purposes of the stores stock operation as a whole. "Service" is the key word for every store. That is its primary function and when it fails in that respect its purposes are defeated. During periods of high fire hazard a store is so organized as to answer calls immediately, night or day. During normal times requisitions for supplies are ordinarily handled within 24 hours after receipt.

### Fleet Equipment Management

Fleet equipment management means establishing and using systematic administrative controls to:

1. Establish the size and makeup of the Government-owned motor equipment fleet.
2. Finance fleet equipment replacement, maintenance, and operation.
3. Assign equipment to meet program needs.
4. Supervise equipment use and maintenance.
5. Keep accurate equipment-use and -cost records.
6. Establish adequate use, service, and maintenance standards.
7. Train operators and mechanics for proper use and maintenance of equipment.
8. Inspect for compliance with established policies, objectives, procedures, and standards.

The basic objective in managing the Forest Service fleet of automotive vehicles and heavy equipment is to provide proper, efficient, economic, and safe operating units in sufficient number to meet work requirements.

Experience shows that Government ownership is economical for units which will receive sufficient use prior to obsolescence. Extra equipment not available in the fleet and needed only for intermittent or seasonal use is rented as needed from outside sources or hired with an operator. Another alternative is to contract the entire job on which special equipment is needed.

The organization necessary to insure safe, dependable, and economical operation of equipment is determined by regional foresters and station directors through careful analysis of types of fleet equipment and of conditions prevailing in their respective regions. The relative merits of commercial repair facilities, forest and project shops, and central shops receive careful consideration. A decision is then made as to the type of facility or a combination of Forest Service shop and commercial services, whichever is best suited to meet prevailing local conditions.

The degree of centralization of maintenance facilities is governed by the distribution of equipment, seasonal pattern of use, distances between field units, and similar considerations. Regardless of how equipment administration, maintenance, and operation are handled, it is important

to maintain a chain of control through the various organization levels.

Regional equipment maintenance facilities and other services are also made available to and used by research stations and work centers.

Efficient operation of a large and diversified fleet of equipment requires that a Government agency pattern its activities much the same as a private concern similarly engaged. Firm conditions, performance requirements, and reliable records are essential in establishing standards and measuring performance.

Within policies and standards prescribed by the Chief, sufficient controls are established by regional foresters and station directors to insure:

1. Closely coordinated equipment use plans.
2. Sound financing of equipment cost.
3. Proper care of idle equipment and disposal of excess equipment.
4. Adequate and reliable use records (log-books).
5. Reliable records for determining cost of fleet management, shop operation, maintenance, operation, and depreciation.
6. Complete records and reports on fleet equipment.
7. Effective performance, maintenance, and care.
8. Keeping all equipment in a safe and efficient operating condition.
9. Assignment of basic responsibilities to qualified and properly trained personnel.

In addition to safety and minimum maintenance standards established by the Chief, regional foresters and station directors determine the extent to which supplemental standards are needed to meet local requirements. Considerations include prompt and dependable action in response to fire calls, continuous operation on seasonal road maintenance, and uninterrupted duty on other activities. The level at which such supplemental standards are established must be supported by proof that analyzed needs justify the cost of meeting the standards.

In conformity with the established line of authority, the responsibility for fleet equipment management starts with the Chief and extends through regional foresters and station directors, forest supervisors or research unit leaders, and district rangers. Interagency motor pools and transit systems are established when studies in a selected area, as determined by the General Services Administration, indicate that establishment of a pool is advantageous to the Government in terms of economy and efficiency, with due regard to the program activities of the agencies concerned.

The Forest Service cooperates with the General Services Administration in every way possible in furnishing statistical data for motor vehicle pool studies and information relative to program requirements, to assure the success of such studies and determinations. This cooperation also extends to the use of pooling facilities when such

arrangements in no way impair program operations and responsibilities.

## Real Property Management

Real property is defined as (a) Any interest in land owned by the United States, including any wholly owned Government corporation, and any fixtures, appurtenances, and improvements of any kind located thereon. Excepted are the public domain and lands reserved or dedicated for National Forest or National Park purposes, including lands formerly withdrawn or reserved from the public domain which the Administrator, General Services Administration, with the concurrence of the Secretary of the Interior, determines are suitable for return to the public domain because such lands are not substantially changed in character by improvements; and

(b) Any fixtures, structures, and other improvements owned by the United States (including such as may be located on the public domain or on lands reserved or dedicated for National Forest or National Park purposes, or located on land that is not owned by the United States), which are to be disposed of for off-site use, excluding, however, standing timber and crops offered for disposal separately from the land on which located.

Under the Federal Property and Administrative Services Act of 1949, as amended, the General Services Administration has been given broad authority in the field of real property management. The Administrator of GSA is required to prescribe policies and methods for the economical and efficient utilization of real property. To the extent that he determines that so doing is advantageous to the Government and with due regard to program activities of the agencies concerned, he is authorized to operate and, after consultation with the agencies affected, consolidate, take over, or arrange for the operation by any executive agency of buildings, warehouses, supply centers, repair shops, and similar facilities.

Under Reorganization Plan 18 of 1950, the Administrator of GSA delegated certain functions in connection with the operation and management of real property. This delegation of authority to executive agencies was modified by GSA to provide delegation of authority to the Secretary of Agriculture (with power of redelegation) to perform all functions with respect to acquiring space in buildings by lease for use by the Department of Agriculture, the assignment and reassignment of such space, and the operation, maintenance, and custody thereof.

The Director, Office of Plant and Operations, delegated authority to the Chief, who has redelegated such authority to regional foresters, assistant regional foresters in charge of the Division of Operation, regional administrative service officers, directors, and administrative officers of experiment stations to:

a. Acquire leased space, including regional

headquarters and experiment station headquarters space, and regional or area repair depots and warehouses. This authority includes acceptance of bids and execution of leasing documents.

b. Contact field offices of General Services Administration and regional offices of the Post Office Department relative to space acquisitions, use, and assignments, or to arrange for alteration and repair of buildings under control of GSA or the Post Office Department.

c. Operate, maintain, and have custody of space under the control of the Forest Service.

These authorities are subject to the following limitations:

(1) The authority must be exercised as required by regulations and procedures of the Department, General Services Administration, and Post Office Department.

(2) The delegation does not include authority to obtain space in the District of Columbia.

The Washington office is notified of proposed leasing actions for regional or station headquarters prior to negotiating or making definite commitments.

Regions and stations have operational responsibility for supervision, custody, and management of real property, and compliance with the policies outlined above.

The Chief, regional foresters, directors, and forest supervisors designate in writing property management officers. Individuals selected for this assignment must be familiar with real property conditions and the requirements of their unit in order to administer the real property management program in their area. In the Washington office, the Director, Division of Administrative Services, is designated as the property management officer for the Forest Service. In order to attain the best possible coordination in managing all Government property, it is desirable to designate one property management officer who will be responsible for both real and personal property. This is of particular importance with respect to experiment stations and National Forests. Forest supervisors are advised to delegate the responsibility for the management as well as the accounting of real property to staff officers.

## Space Management

The objective of space management is to obtain the most efficient and economical utilization of space at all levels of organization irrespective of the agency having administrative control or custody over the space, and to outline the responsibilities for effecting such utilization.

Regional foresters and directors review periodically their use of space with a view toward efficient and full utilization, and cooperate in

furnishing space and personnel-occupancy data to the General Services Administration as requested.

### ***Forest Service Space Utilization Policy***

1. *Analysis.*—Space needs are determined by appropriate analysis which preferably makes use of template layouts.

2. *Single-Room Occupancy.*—Ordinarily single occupancy of rooms is limited to specific positions requiring privacy.

3. *Equipment Space Requirements.*—The space analysis covers space for personnel files and working tools, and visitor or work conferences. Only those files and working tools are included which are absolutely necessary for the proper operation of the position.

4. *Review of Leased Space.*—Leased space is reviewed with the aim of obtaining full utilization at lowest possible rental cost.

5. *Provision for Space in New Forest Service Buildings.*—New designs for office buildings to be constructed by the Forest Service are based on prescribed standards and template layout analysis. A realistic allowance is made to provide for a foreseeable increase in workload and personnel in the immediate future. Needs for the next 10-year period are visualized and provided for in the plans.

The Forest Service manages its real property holdings for maximum utilization and disposal consistent with the best interests of the Government.

Budget Bureau Circular No. A-2 dated October 18, 1955, provides that there shall be an annual review of real property to determine which property, based on economic and efficient utilization, will be retained. Although the circular excludes public domain holdings, the review includes improvements on such property.

### ***Residence Occupancy Policy***

Through purchase or construction, federally owned residence quarters are provided for Forest Service employees to the limit of available funds and authorizations under prescribed conditions. Employees provided quarters are charged as rent the reasonable value of the quarters during the particular period and in the particular locality where situated.

Official quarters are provided for employee occupancy at many locations. Generally, such quarters are provided primarily for the convenience of the employee since suitable privately owned quarters are not available.

### ***Required Occupancy***

While personnel are not as a rule required to occupy Government quarters, certain employees are required to occupy such quarters in order to provide necessary service to the public, protect natural resources, or operate necessary equipment. Such employees include fire lookouts; and fire fighters, including smokejumpers, who must be immediately available for fire suppression.

## Chapter 12

# Finance and Accounting

This chapter sets forth the general policy and basic requirements pertaining to finances, accounting, and related fiscal operations of the Forest Service. This includes securing funds needed to operate Service programs; insuring obligation of funds for the purposes designated; and accounting for the funds and resources used.

A primary objective of finance and accounting is to organize, provide leadership for, give assistance in, and coordinate finance and accounting activities throughout the Service in a manner that will (a) insure compliance with applicable laws, regulations, policies, and other requirements; (b) provide the maximum support to all authorized programs of the Service, including advice on methods of handling new and unusual situations within available authorities; and (c) provide control and protection of the assets of the United States under Forest Service administration.

A further objective is to effect internal improvements and economies that will insure efficient handling of finance and accounting work in an acceptable and businesslike manner.

The finance and accounting phases of the Service program are founded on the following general policies.

1. That employees shall comply with all applicable laws, regulations, and requirements which the Department, General Accounting Office, Treasury Department, Bureau of the Budget, and other Federal agencies may issue in their respective fields relative to the financial administration, control, and operation of the Government's fiscal affairs.

2. That employees shall at all times maintain the integrity of the funds for which they are chargeable and insure that these funds are used only for the purpose for which they were made available.

3. That various funds shall be integrated into a balanced program which, in response to the desires of Congress, will produce maximum effectiveness in terms of on-the-ground accomplishments.

4. That accounting and related fiscal operations shall provide:

- a. Full disclosure of the financial results of the agency's activities.

- b. Adequate financial information to meet the needs of management.

- c. Effective control over and accountability for all funds, property, and other assets for

which the agency is responsible, including appropriate audits.

- d. Adequate administrative controls for limiting obligations and expenditures to amounts permitted by approved apportionments or allotments therefrom.

- e. Accounting information to serve as the basis for budgetary preparation, to control execution of the budget, and to furnish financial data for budgetary reporting.

- f. Suitable integration of the agency's accounting system with that of the Treasury Department to facilitate reporting requirements.

### Appropriations and Funds

The term appropriation is used here to define all classes of funds available for use by the Forest Service and is not limited to those funds actually appropriated by Congress. Funds available for financing Forest Service programs are derived from several sources.

1. Annual appropriations by Congress specifically for Forest Service work and included in the Interior and Related Agencies Appropriation Act. These are identified as regular appropriations and are as follows:

Forest Protection and Utilization (Subappropriations: Forest Land Management, Forest Research, State and Private Forestry Cooperation).

Forest Roads and Trails.

Access Roads.

Acquisition of Lands for Superior National Forest.

Acquisition of Lands for Cache National Forest.

Acquisition of Lands, Special Acts.

Cooperative Range Improvements (transferred to Forest Protection and Utilization after appropriation by Congress).

Assistance to States for Tree Planting.

2. Appropriations which are based on permanent authorizing legislation not requiring annual appropriation action by Congress. The available amounts are determined from pro rata distribution of National Forest receipts or by actual amounts collected for the specific programs as authorized by the legislation for each program. These appropriations are identified as permanent and are as follows:

Expenses, Brush Disposal.  
Forest Fire Prevention.  
Restoration of Forest Lands and Improvements.  
Payments to Minnesota.  
Payments Due Counties, Submarginal Land Program.  
Payments to School Funds (Arizona-New Mexico).  
Payments to States and Territories (25-percent Fund).  
Roads and Trails for States (10-percent Fund, transferred annually to the regular appropriation Forest Roads and Trails for obligation purposes).

3. Annual appropriations by Congress for programs of other agencies of the Department of Agriculture in which the Forest Service participates. These appropriations are included under Department of Agriculture and Farm Credit Administration Appropriation Act and are as follows:

Flood Prevention (Soil Conservation Service)  
Watershed Protection (Soil Conservation Service)  
Naval Stores (Agricultural Stabilization and Conservation Service)  
Soil Bank Conservation Reserve (Agricultural Stabilization and Conservation Service)  
Great Plains Conservation Program (Soil Conservation Service)

4. Advances from other Government agencies to the Forest Service for work authorized under section 601 of the Economy Act or other specific authority. These are transferred as consolidated working funds or transfer appropriations and are as follows:

Expenses, Section 411, Mutual Security Act, Executive (Agency for International Development)  
Technical Cooperation, Executive (Agency for International Development)  
Office of Civil and Defense Mobilization  
Oregon and California Grant Lands (Bureau of Land Management)

5. Trust funds, composed of contributions for authorized classes of cooperative work from non-Federal sources, include the following appropriation:

Cooperative Work, Forest Service

6. Working capital fund, established to facilitate financing of supply service and equipment service activities, including air fleet operations. At present this fund includes automotive equipment, aircraft, central supply service, nurseries, sign shops, photo shops, and subsistence.

7. Reimbursements made to appropriations for work performed for other Government agencies in accordance with section 601 of the Economy Act and other laws or by local agencies or individuals

under other authorities when funds are not transferred or deposited in advance.

The Forest Service objective is to operate with as simple an appropriation structure as possible, considering the diversified nature of its programs, variety of basic laws under which appropriations are made, and numerous sources of available funds. Separate appropriations for the same type programs are merged where possible. Appropriation requests are based on demonstrated needs and designed to obtain maximum accomplishment, correlation, and balance between all programs.

The appropriation structure and system of appropriation subdivisions will primarily follow program lines, which largely coincide with organizational pattern. Most operating units will have diversified programs requiring use of several appropriations, subappropriations, activities, and functions. Estimates for appropriation requests are aimed toward recognition of program needs, field conditions, and priorities based on periodic workload analyses, project work inventories, work and line projects, area and cost studies, and related data.

The Congress exercises its constitutional duty to prescribe the purpose for which Government funds will be expended through the terms of appropriation acts, and the executive branch is charged with responsibility for compliance. Section 3678, Revised Statutes, provides that all sums for the various branches of expenditure in the public service be applied solely to the objects for which they are respectively made, and for no other. The following exceptions to these general rules, permitting some interchange of appropriations of the Forest Service, are authorized by law.

1. Under the provisions of 31 U.S.C. 534, funds from any appropriation of the Forest Service may be advanced for fighting forest fires in emergency cases. Such advances are accomplished at the Washington office.

2. The Department of Agriculture Organic Act of 1944 (5 U.S.C. 572) authorizes transfer of funds between appropriation items within individual agencies of the Department, with prior approval of the Secretary, as follows:

Not to exceed 7 per centum of the amounts appropriated for any fiscal year for the miscellaneous expenses of the work of any bureau, division, or office of the Department of Agriculture shall be available interchangeably for expenditures on the objects included within the general expenses of such bureau, division, or office, but not more than 7 per centum shall be added to any one item of appropriation except in cases of extraordinary emergency.

3. The Appropriation Act provides that funds appropriated for Cooperative Range Improvements may be advanced to the Forest Land Management subappropriation and that the Roads and Trails for States (10-Percent Fund) permanent appropriation may be merged with the regular



Forest Roads and Trails appropriation. Both of these transfers are accomplished at the Washington office level.

Subappropriations are subject to the same general rules and exceptions as the mainhead appropriations of which they are a part.

Funds provided in appropriation acts are not available for obligation until the appropriation acts are passed by the Congress and approved by the President (unless authorized by a joint resolution of the Congress), and until allotments or allocations are made to obligating units. Therefore, officers do not incur any obligations against newly appropriated funds until formally authorized through channels.

The language of various acts which authorize Forest Service programs and programs of the Department in which the Service participates, and the language of the two major annual appropriation acts providing funds therefor, define in broad terms the purposes for which the funds may be used without detailed descriptions of the individual elements of work.

The Interior and Related Agencies Appropriation Act provides that funds are appropriated in the Forest Land Management subappropriation for expenses of the Forest Service which are not otherwise provided, but which are necessary to administer, improve, develop, and manage lands under Forest Service administration; to fight and prevent forest fires on or threatening such lands and to liquidate obligations incurred in the preceding year for such purposes; and to control white pine blister rust and other forest diseases and insects on Federal and non-Federal lands. This act also provides funds as authorized by law for (1) forest research; (2) State and private forestry cooperation; (3) carrying out the provisions of the Federal Highway Act; and (4) acquisition of various lands.

The Department of Agriculture and Farm Credit Administration Appropriation Act provides funds as authorized by law for carrying out provisions of the Watershed Protection and Flood Prevention Act, Flood Control Act, Soil Conservation and Domestic Allotment Act (Great Plains and Naval Stores), and Soil Bank Act (Conservation Reserve).

### Financial Management

The financial management system has been developed to attain the following major objectives.

1. Allot funds at the highest practicable level, consistent with management needs for control of obligations and within any limitations on use of funds established by executive or legislative requirements.

2. Distribute funds to operating units in a timely and equitable manner consistent with program objectives and organizational requirements.

3. Integrate each operating unit's funds into a soundly developed financial plan of action.

4. Establish and maintain effective controls to assure that funds are used for planned work, that expenditures from an appropriation benefit the work for which it was made, and that they are in accord with the laws, regulations, and directives.

5. Establish a standard format for adequately documenting financial plans, permitting review by higher authority.

6. Establish procedures for timely cost-of-business analysis and performance checks as an aid to maximum economy and efficiency of operation.

The financial management objectives are implemented by consistent application of the following practices.

1. The Forest Service maintains an up-to-date financial management system for preparing and executing sound financial plans and supporting work plans at all organization levels.

2. Servicewide formats and procedures are established and continuously reviewed and improved, when necessary, to maintain a dynamic system to best serve the needs of management. The formats and procedures are designed primarily to serve the financial planning and administrative needs of on-the-ground forest officers.

3. Reports or financial data from field offices are requested only when such information cannot be obtained from financial plans or accounting records.

4. The maximum authority consistent with position responsibility is delegated to the heads of all operating units for managing finances in compliance with legislation, regulations, and administrative program objectives and instructions. This delegation of authority is essential in order that on-the-ground managers may attain the broad administrative objectives under the prescribed system of financial controls.

### Responsibilities

1. *Chief.*—The Chief of the Forest Service is responsible for allocating appropriated funds equitably to regional foresters and directors, and for prescribing servicewide financial management policies, administrative objectives, and procedural instructions. These responsibilities are assigned on behalf of the Chief to the Director of the Division of Budget and Finance, through the Assistant Chief for Administration.

2. *Regional Foresters and Directors.*—Regional foresters and directors are responsible for establishing and maintaining sound financial management programs within the objectives prescribed by the Washington office and the framework of available financing; for equitably allocating available funds to National Forests and research projects based on work quotas, objectives, and organizational requirements; for issuing implementing instructions; and for prescribing effective methods of performance control.

Responsibility for these activities is assigned to the division of operation in regional offices and to the division of station management in stations. Financial matters between regional and station offices and the Washington office or between these offices and National Forests or research units are cleared through these divisions. Division chiefs of the regions and stations participate in making major budget decisions, reviewing and approving annual budgets, and preparing program allocations and objectives.

3. *Forest Supervisors and Project Leaders.*—Forest supervisors and research project leaders have responsibility for managing available finances in accordance with laws, regulations, and administrative objectives; establishing work quotas and objectives for all ranger districts and other operating units within the framework of available funds and in accordance with the general program guides; equitably allocating funds, manpower, and equipment to attain approved work quotas and objectives; and establishing and maintaining work planning methods which will insure the integration of available finances with quotas and objectives into an effective system of financial and program controls.

4. *Rangers and Other Subunit Heads.*—District rangers and the heads of other field operating units have the responsibility for economically and effectively using available finances in the conduct of on-the-ground programs. This responsibility includes the broad and complex field of functional program analysis and evaluation, and the integration of work plans with available funds to maintain a balance between functional program needs. Program execution requires maximum decentralization of authority by the forest supervisor to permit the district ranger and the heads of other field operating units to conduct their work within the framework of broad administrative objectives, available finances, and applicable laws.

## Principles of Financial Management

The budget function is one of the primary program controls exercised by management at all levels. The function of budgeting is to (1) provide for the use of funds in a manner that will implement appropriation acts and planned programs; (2) insure equitable distribution of available funds to operating units; and (3) provide financial planning, coordination, and controls for program execution. The accounting system is correlated to the budget system as a means of ascertaining, through factual recording, the actual disposition of funds resulting from program execution.

The following are components of financial management.

1. *Analysis of Program Needs.*—A factual appraisal is made of current program needs and required organization of each operating unit.

2. *Allocation of Available Funds.*—Based on

analysis of need, available funds are distributed to operating units on an equitable basis to finance established quotas, objectives, and basic organizational costs.

3. *Preparation of Financial Plans and Work Plans.*—Upon receipt of fund authorizations and program objectives and quotas, operating units prepare detailed work plans identifying specific program work to be accomplished and a financial plan showing the financing for the basic organization and project work.

4. *Program Execution.*—This involves assigning responsibility; giving instructions for executing the plans; obtaining the necessary manpower, equipment, and materials to attain the program objectives; and performing related supervisory functions.

5. *Program Controls.*—This includes periodically reviewing and inspecting program execution to determine quality, cost, and status of work; revising financial and work plans as required within permissible limits of authority and financing; and obtaining other elements of performance required by management.

The basic financing methods prescribed for preparing financial plans are stated below.

1. *Direct Financing.*—This system is used when the time of employees and other services can be directly identified with the benefiting appropriation and function, and pertains primarily to on-the-project expenses.

2. *Indirect Financing.*—Many elements of expense cannot be directly identified with the benefiting appropriations and functions, such as general administrative and facilitating service salaries and related expenses. These are called indirect expenses, since normally they are services required to administer and facilitate the work of one or more appropriations on a concurrent basis.

Indirect expense costs are distributed to the appropriations benefited on the basis of planned annual expenditures and other pertinent workload factors for each appropriation. Financing formulas are developed to facilitate this distribution.

3. *Group Performance.*—Base organization expenses above the ranger district level are budgeted according to prescribed criteria (1) by using the indirect method, or (2) by using the direct method where planned staff work can be identified with the benefiting appropriation and functions.

The budget of an administrative group of employees, such as the forest supervisor and line staff and regional office program division staff, whether budgeted under the direct or indirect method, is in effect a group performance budget. Recognition of group rather than individual performance in these categories is a fundamental concept of sound accounting.

## Financial Bases

The purpose of a financial base is to provide an analysis of needs as a basis for fair and equitable

distribution of available funds to operating units, consistent with program objectives and organizational requirements. Development, maintenance, and use of such bases follow standard practice. The following requirements are essential to the financial base procedure.

1. Workload data, project work inventories, research work and line project reports, area and cost studies, and other related data are systematically accumulated to provide allotment bases for the equitable distribution of available funds. All such data are reviewed and revised periodically, as required, to reflect changing programs and organizational requirements, field conditions, and priorities. The bases prescribe quotas and objectives.

2. Allotment bases are used to the extent possible for distributing funds to all operational units. This procedure is followed by the Washington office in allocating funds for regional offices, National Forests, and research administration. The same procedure applies in the allocation of funds by regional foresters and directors of experiment stations for National Forests and research units. However, in distributing funds for administrative costs to National Forests and research units, some deviation in financing may be necessary pending consolidations and reorganizations for units with relatively small workloads. In applying the allotment base procedure below these levels, other local factors may need to be considered.

3. In determining the relationship of funds among various levels of organization, it is essential to insure maximum feasible distribution of available funds to the ranger district and other comparable levels where the job of resource management and other program action is under way.

### **Financial Plans**

Preparation of sound financial plans is one of the most important responsibilities of management in the field of program execution and is an essential step in work planning and accomplishment. Every organizational unit in the Forest Service is required to prepare a financial plan at the beginning of each fiscal year. These plans provide each operating unit with a systematic method of expressing program obligation estimates for the approval of officers responsible for such programs.

Plans of work and corollary financial plans need to be prepared concurrently, in a timely manner, and in conformity with uniform guides and formats. Financial plans are factual and show fully the use to be made of available funds. It follows that no work is started for which financing is not available. It is the responsibility of each officer at the next higher level to insure that financial plans are prepared in accordance with these requirements.

### **Financial Controls**

The formalized system of financial management controls used by the Forest Service insures that program objectives and quotas will be attained substantially as planned within the limits of funds available and in compliance with legislation and other regulatory authorities. The controls provide for the timely and effective analysis of actual costs in the interest of increased efficiency, and facilitate future work planning. The mediums of controls consist of current review and adjustment of financial plans; records of work accomplishments; accounting records; and performance checks.

Financial plans are reviewed and adjusted, when necessary, to changing program requirements in order to secure program control on a continuous basis.

### **Collections**

The Forest Service is responsible for establishing internal administrative procedures for the prompt collection and deposit of all moneys due the United States from whatever source. The following policies are basic in meeting this responsibility.

1. Collections are made in advance of furnishing services or use of resources, except as specifically provided.

2. Billings for amounts due are issued promptly, and recorded as amounts due.

3. Prompt followup is made on billings not paid within a reasonable time.

4. Adequate safeguards are provided to insure proper accounting for and disposition of collections.

5. All collection officers are bonded except employees who handle less than \$200 in cash or negotiable documents in a year.

6. Field officers who have not been designated as collection officers may not accept cash or remittances, except in emergencies.

Individual responsibility for making collections varies with the nature of the transaction. However, all forest officers are responsible for knowing when amounts are due the Government and for taking appropriate action to see that collection is made.

### **Payments**

The Forest Service certifies for payment all amounts due its creditors. Payments are made on properly certified voucher schedules by designated disbursing officers. Unless authorized by law, individuals or organizations cannot make themselves creditors of the United States by assuming its obligations. They cannot assume the functions of a designated disbursing officer.

### **Claims**

Any amount due or alleged to be due from the United States is a claim. Officers and employees

are prohibited from inviting a claim or aiding in its prosecution. This does not mean that an invoice should not be requested when there is no question about the Government's liability (30 Comp. Gen. 266). If a claim has been initiated, an employee may inform the claimant how it should be prepared and presented.

Documents which subsequently support payments by the Government must not be signed in blank under any circumstances. The items and amount must be written in before the document is signed. No certificate or statement will be inserted above a signature without approval of the person who signed the document.

### ***Imprest Fund***

The Imprest Fund is a fund established without appropriation identity by the advance of cash from a disbursing officer to a designated cashier for the purpose of making immediate payments of comparatively small amounts. The fund is replenished on a revolving basis.

Under no circumstances is an authorized certifying officer designated as Imprest Fund cashier.

### **Travel**

Only those travel expenses which are essential to transacting official Forest Service business are allowed. Itineraries are carefully planned in advance to provide maximum service for the travel involved. Much of the planning of official travel is, of necessity, left to the discretion of the traveler, who is expected to exercise the same care in incurring expenses that a prudent person would exercise if traveling on personal business. Full use is made of "air coach," "air tourist," or similar accommodations in all instances where such accommodations meet reasonable travel requirements. Authorizing officials and those who administratively approve travel (1) limit travel to that required for the transaction of Forest Service business; (2) provide for use of the most economical accommodations which will meet program requirements; and (3) take other steps necessary to insure compliance with the spirit and intent of current travel regulations.

The policy with regard to travel expenses is to:

a. Reimburse the traveler, within the limits prescribed by law, the Standardized Government Travel Regulations (G.T.R.), the Administrative Regulations of the Department of Agriculture, and other applicable regulations and requirements, for the expenses necessarily incurred in handling official business.

b. Establish, insofar as practicable, uniform mileage and per diem rates for like conditions of travel, basing such rates on the best available data on travel costs.

c. So administer the travel program that the per diem authorized will cover the necessary travel expenses and the traveler will not be put to personal expense.

d. Require all travelers to submit promptly after the completion of official travel an accurate and factual statement of travel on the prescribed travel voucher form.

The Director of the Division of Budget and Finance in the Washington office has general responsibility for Servicewide policies, procedures, and related matters pertaining to expenditures for travel. The fiscal agent has a similar responsibility for the region and station in his area.

### ***Authorizing or Approving Travel***

The Secretary of Agriculture, in his general delegation of authority to agency heads, has delegated authority to the Chief of the Forest Service (1) to authorize or approve travel and transportation in accordance with applicable statutes, the Standardized Government Travel Regulations, Executive orders, Comptroller General decisions, and Department regulations; and (2) to redelegate such authority to appropriate officers and employees.

The Department regulations reserve certain authorities to the Office of the Secretary.

Certain authorities are also reserved to the Office of the Chief of the Forest Service. The following types of travel are referred to the Washington office for the action indicated.

1. Prior approval for travel to national and interregional meetings.

2. Postapproval on vouchers covering travel to national and interregional meetings when the prior approval was not obtained or did not cover all travel performed.

The Forest Service accounting policy provides that an adequate system of accounting and internal control be established and maintained which conforms to the policies, principles, standards, and requirements of the Congress, other Executive Departments, and the Secretary of Agriculture. It also provides that the accounting system, as established, be uniformly used within the various accounting offices. Some refinements and additional accounting records may be established to meet the needs of management as provided for under the specific types of accounts.

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